



# USRS

USAID CAPITAL MARKETS DEVELOPMENT  

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THE PRAGMA CORPORATION

# USAID Registry System User's Manual



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# Table of Contents

<b>CHAPTER 1: INDEPENDENT SHARE REGISTRY (ISR) INTRODUCTION</b>	<b>7</b>
OVERVIEW .....	7
ABOUT THIS MANUAL.....	7
HOW TO USE THIS MANUAL.....	9
WHAT IS A REGISTRY? .....	9
WHAT DOES YOUR REGISTRY DO? .....	9
ISR'S ROLE IN THE REGISTRY.....	10
ISR USERS.....	10
ISR HARDWARE/SOFTWARE ENVIRONMENT.....	10
USER PC KNOWLEDGE REQUIREMENTS .....	11
<b>CHAPTER 2: GETTING STARTED WITH THE REGISTRY SYSTEM</b>	<b>12</b>
ACCESSING THE ISR MAIN MENU .....	12
ISR MAIN MENU .....	13
TRAVELING AROUND THE REGISTRY SYSTEM.....	14
USING ICONS.....	14
USING PULL DOWN SELECTION BOXES (COMBO BOXES) .....	14
DATA ENTRY FIELDS .....	14
SORTING DISPLAYED DATA.....	14
USING FIND.....	14
MAIN MENU, SUB MENUS AND INPUT SCREENS RELATIONSHIPS.....	15
ACCESSING SUB MENUS AND INPUT SCREENS.....	15
HOW DO I EXIT ISR? .....	16
From the Main Menu Screen:.....	16
From the Main Menu Bar .....	16
From the Toolbar.....	16
From Main Menu Window X.....	16
<b>CHAPTER 3: REGISTRY SUB-MENUS AND OPTIONS</b>	<b>17</b>
SHAREHOLDER INFORMATION MENU .....	17
CURRENT HOLDINGS BY ACCOUNT .....	17
SHAREHOLDING HISTORY.....	18
SHAREHOLDER LISTS BY ISSUES .....	19
REGISTRY TRANSFERS .....	20

REGISTRY TRANSFER LIST.....	20
<b>REGISTRY ACCOUNTS .....</b>	<b>21</b>
REGISTRY ACCOUNT LIST AND MAINTENANCE.....	21
<b>REGISTRANTS.....</b>	<b>22</b>
REGISTRANTS - SELECTION SCREEN .....	22
INDIVIDUAL.....	22
ORGANIZATION .....	23
Contact list screen .....	23
Contact detail screen.....	24
<b>ISSUES .....</b>	<b>25</b>
ISSUES LIST .....	25
<b>ISSUERS .....</b>	<b>27</b>
ISSUER LIST.....	27
<b>WHAT ARE REGISTRY OPTIONS? .....</b>	<b>30</b>
WHO USES REGISTRY OPTIONS? .....	30
MISCELLANEOUS REGISTRY OPTIONS.....	31
ISSUER OPTIONS.....	31
ISSUE OPTIONS .....	31
REGISTRANT OPTIONS.....	31
REGISTRY ACCOUNT OPTIONS.....	32
BILLING OPTIONS .....	32
TRANSFER OPTIONS .....	32
PERFORMING REGISTRY SETUP .....	32
FILLING IN OPTION CHOICES .....	33
 <b>CHAPTER 4: REGISTRY DATA ENTRY, INQUIRY AND RETRIEVAL .....</b>	 <b>34</b>
<b>ISR SCREENS .....</b>	<b>34</b>
REGISTRY TRANSFERS DETAIL SCREENS .....	34
Original Issue .....	34
Issue Retirement.....	36
To Street Name.....	37
From Street Name.....	37
Account Transfer.....	38
Canceling Transfers:.....	39
ISSUERS DETAIL SCREEN.....	40
ISSUES DETAIL SCREEN .....	41
REGISTRANTS SCREEN.....	41
REGISTRY ACCOUNT SCREEN.....	43

ADDING DATA.....	45
DELETING AND CHANGING DATA .....	45
<b>CHAPTER 5: REGISTRY FUNCTIONALITY</b>	<b>46</b>
INTRODUCTION.....	46
ORIGINAL ISSUE OF SHARES .....	46
RETIRING SHARES .....	47
FACILITATE TRADING OF SHARES .....	47
TRANSFERS .....	48
CUSTOMER SUPPORT - INQUIRY CAPABILITY .....	48
IDENTIFY RESTRICTED SHARES .....	49
<b>CHAPTER 6: REGISTRY INTERFACES</b>	<b>50</b>
DEPOSITORY INTERFACE .....	50
REMOTE ACCESS.....	50
ORGANIZATIONS.....	50
USER ID'S.....	51
Remote User ID List .....	51
Remote User ID Detail .....	52
Blank Remote UserID Detail .....	53
<b>CHAPTER 7: REGISTRY REPORTS</b>	<b>54</b>
INTRODUCTION.....	54
ISSUE SHAREHOLDER REPORT.....	55
SHAREHOLDER REPORT (COVER).....	57
SHAREHOLDER REPORT (COVER) SAMPLE.....	58
SHAREHOLDER REPORT (DETAIL):.....	59
SHAREHOLDER REPORT (DETAIL):.....	59
SHAREHOLDER REPORT (DETAIL).....	60
ACCOUNT STATEMENT REPORT (ACTIVITY DETAIL) .....	61
SAMPLE OF ACCOUNT STATEMENT (ACTIVITY DETAIL) REPORT:.....	63
FIELD DESCRIPTIONS FOR ACCOUNT STATEMENT (DETAIL) REPORT .....	63
REGISTRY ACCOUNT STATEMENT (SUMMARY):.....	65
SAMPLE OF ACCOUNT STATEMENT (SUMMARY) REPORT.....	66
FIELD DESCRIPTION FOR ACCOUNT STATEMENT (SUMMARY) REPORT .....	66
ACCOUNT ACTIVITY ADVICE REPORT .....	68
ACCOUNT ACTIVITY ADVICE REPORT SAMPLE .....	69

FIELD DESCRIPTIONS FOR ACCOUNT ACTIVITY ADVICE REPORT:.....	69
<b>BILLING DETAIL REPORT</b> .....	<b>71</b>
BILLING DETAIL REPORT SAMPLE .....	72
FIELD DESCRIPTIONS FOR BILLING DETAIL REPORT: .....	72
<b>BILLING SUMMARY REPORT</b> .....	<b>74</b>
BILLING SUMMARY REPORT EXAMPLE.....	75
FIELD DESCRIPTIONS FOR BILLING SUMMARY REPORT:.....	75
 <b>CHAPTER 8: ERROR MESSAGES</b>	 <b>76</b>
ISR SYSTEM ERROR MESSAGES .....	76
 <b>CHAPTER 9: SYSTEM SECURITY</b>	 <b>78</b>
 <b>CHAPTER 10: GLOSSARY</b>	 <b>79</b>

# Chapter 1: Independent Share Registry (ISR) Introduction

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## Overview

Welcome to the Independent Share Registry (ISR) computerized transaction and inquiry system developed by the United States Agency for International Development (USAID). This system was designed with you the user in mind and assumes that you have a working understanding of the English language. Since you will be the operators of the (ISR) system we have taken that into consideration by providing you with a system that offers logical work flows for data retrieval, data input, and transaction processing. There are also many safety features incorporated into the Registry system to protect processed data and ensure accurate and complete input of information. We hope that you will find our system to be user friendly and a valuable instrument in your daily work efforts.

## About this Manual

The *ISR User Manual* is a guide which is designed to provide the Registry user with step-by-step instructions to follow the ISR system pathways, to operate the system and to understand the nuances of the Registry process. The information contained in this manual is designed to build in an orderly and gradual fashion your knowledge base of the system and its operation. If certain chapters are too elementary for your background feel free to skip ahead. The following is the structure of the *ISR User Manual* and highlights of each chapter:

- ❑ Chapter 1: ISR Introduction
  - user manual contents and use discussed
  - Registry functions and users defined
  - user skill and equipment requirements
- ❑ Chapter 2: Getting started with Registry system
  - log on and exiting procedures addressed
  - help features and system maneuvering described
  - access of main menu and its features, access of sub menus
- ❑ Chapter 3: Registry Sub Menus
  - use of sub menus and input screens and their connectivity explained
  - array, flexibility and security of Registry options discussed
- ❑ Chapter 4: Registry data entry, inquiry and retrieval
  - fields receiving data input and inquiry addressed
  - methods for adding, deleting or changing data discussed

- ❑ Chapter 5: Typical Registry Functionality
  - issue, trade, retire shares
  - transfer shares to/from street name
  - customer name to customer name transfer
  - transfer activity inquiry
- ❑ Chapter 6: Interfaces
  - access depository interface with registry
  - process transfers from broker location
- ❑ Chapter 7: Registry reports
  - create *Issuance Shareholder Reports, Account Statements*  
and *Account Activities Advices*
  - create *Detail and Summary billing* reports
- ❑ Chapter 8: Error Messages
  - types and explanations of error messages discussed
- ❑ Chapter 9: System Security
  - information access levels addressed
- ❑ Chapter 10: Glossary of Terms and Terminology
  - terms and abbreviations commonly used defined



### How to Use this Manual

This manual uses the following methods to represent text, screen fields and examples of how to use ISR functions:

- ❑ Italics are used to indicate names of publications, documents and actions to be emphasized.

*Example: Issuance Shareholder Reports*

- ❑ Words and characters in **bold** indicate the exact keystrokes to be typed.

*Example: Type **Common Stock***

- ❑ Words and characters that begin and end with brackets and are shown in uppercase letters indicate the name of the exact key/keys to press.

*Example: Press [ALT] and [F7] and then press [ENTER]*

- ❑ Menu command paths are indicated by separating the menu name and command by an arrow.

*Example: Select File ➔ Open.*

This means you point and click the File option and then click the Open file command from the menu.

- ❑ We indicate screen fields in the text by using a different font.

*Example: Account#:      Type:      Status:*

### What is a Registry?

A Registry is a record keeping facility which is responsible for the accuracy of corporate shareholder records. Therefore, it has a dual responsibility of maintaining the accounting of outstanding shares of the issuing corporation and the ownership (or registration) of the corresponding shareholders. A Registry must know who the company's shareholders are at all times so that the company can send reports, legal action notices and possibly pay dividends to its holders. Owners of shares are constantly changing through the trading process so the Registry is charged with controlling ownership records as well as making sure that shares are in good deliverable form to satisfy the settlement of trades. This means that the Registry must work hand in hand with broker/dealers and the Depository.

### What does your Registry do?

The Romanian Share Registry with the aid of computer system software ISR by USAID maintains the current and historical capital stock issuance records for corporations that are members of the Romanian Association of Securities Dealers Automated Quotations (RASDAQ) OTC trading system. It also preserves the ownership records for the individual shareholders of these corporations as well.

When shares are first issued by a company the Registry records in its computerized recordkeeping data base who the owners of the shares are. These shares can be registered electronically in the name of a customer or in the name of the Depository (or street name). Shares used to satisfy a trade must be transferred to the buying broker in street name. As buying customers decide that they want their shares registered in their name the Registry updates this information in its data base, this is a registrations transfer. When customers decide to sell stock in their name the opposite action occurs. If customers decide they wish to change the name their registered shares are in, the Registry performs a data update (or re-registrations transfer). Corporations that wish to reduce the number of shares outstanding buy back their stock and ask the Registry to eliminate the selling shareholders from their data base and the total shares in the marketplace.

Since a company's shareholders are in constant change it is imperative that the Registry maintain accurate and timely records so that the issuing corporation knows at all times who its owners are and shareholder ownership is safeguarded.

### **ISR's Role in the Registry**

The ISR system enables the Registry to perform the functions noted above in an efficient and effective manner. Required processing information is entered into pre-formatted fill-in data entry fields. Transfer bookkeeping entries are produced automatically upon completion of processing of transfer information. Required data fields have flexible options for a more customized structure. Current and historical transfer data are captured in the ISR's data base for easy inquiry retrieval. Input shareholder registration and account details are available upon command. Issuer information as well as issues are data base accessible. Inquiry information is system formatted into easy to use multiple layered data screens. System maneuverability is as easy as typing or pointing an arrow at an object.

Screens are easily printable and there are additional report printing options which have been designed to meet user needs. The ISR system has data protection as well as data access security features incorporated. The system also has the capability of billing for the Registry services provided if desired.

### **ISR Users**

Registry operations staff and managers

Stock Market member firm employees

(the level of system involvement may depend upon your system security access capability)

### **ISR Hardware/Software Environment**

An ISR System Administrator can install the ISR software on your PC and provide you ISR access by giving you a password to the system. ISR uses client/server architecture and requires that you have the following PC software:

- ❑ *Microsoft Windows®* - the 32-bit operating system on your PC.

The ISR hardware system configuration to be used includes the following:

- ❑ A Pentium-based personal computer. This is your local workstation. It should be configured to have the latest version of ISR software (administrator installs this), the latest version of Microsoft's Windows operating system, a mouse, a network card connected to the Windows NT Server network that runs the ISR database server, and super-vga graphics monitor.
- ❑ ISR Database Server. This is one to several network server machines with enhanced hardware design to facilitate multiple users. ISR is a client/server application. The client is Microsoft Windows, the server is Microsoft SQL Server database running on a Windows NT Server network.
- ❑ Fast-Ethernet network. Provides the communications between the workstations and the servers.
- ❑ Remote users of ISR such as brokers and banks can access the system through "dial-up networking" using Microsoft WindowsNT located on the servers.

### **User PC Knowledge Requirements**

You should be familiar with the following concepts:

- ❑ You should know how to use a personal computer, keyboard and mouse.
- ❑ You should also know how to use Microsoft Windows98™.

Some basic Windows functions you need to be able to perform in the ISR System are:

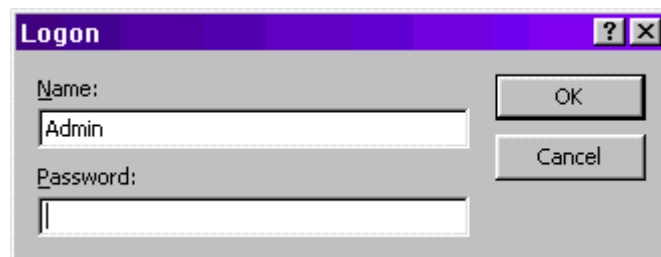
- ❑ Using a mouse to point, click , drag, and drop
- ❑ Opening and closing an application
- ❑ Opening and closing a window
- ❑ Minimizing and maximizing windows
- ❑ Tiling and cascading windows
- ❑ Scrolling up and down
- ❑ Selecting options from a menu bar
- ❑ Selecting options from a tool bar
- ❑ Working in a dialog box

## Chapter 2: Getting Started with the Registry System

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### Accessing the ISR Main Menu

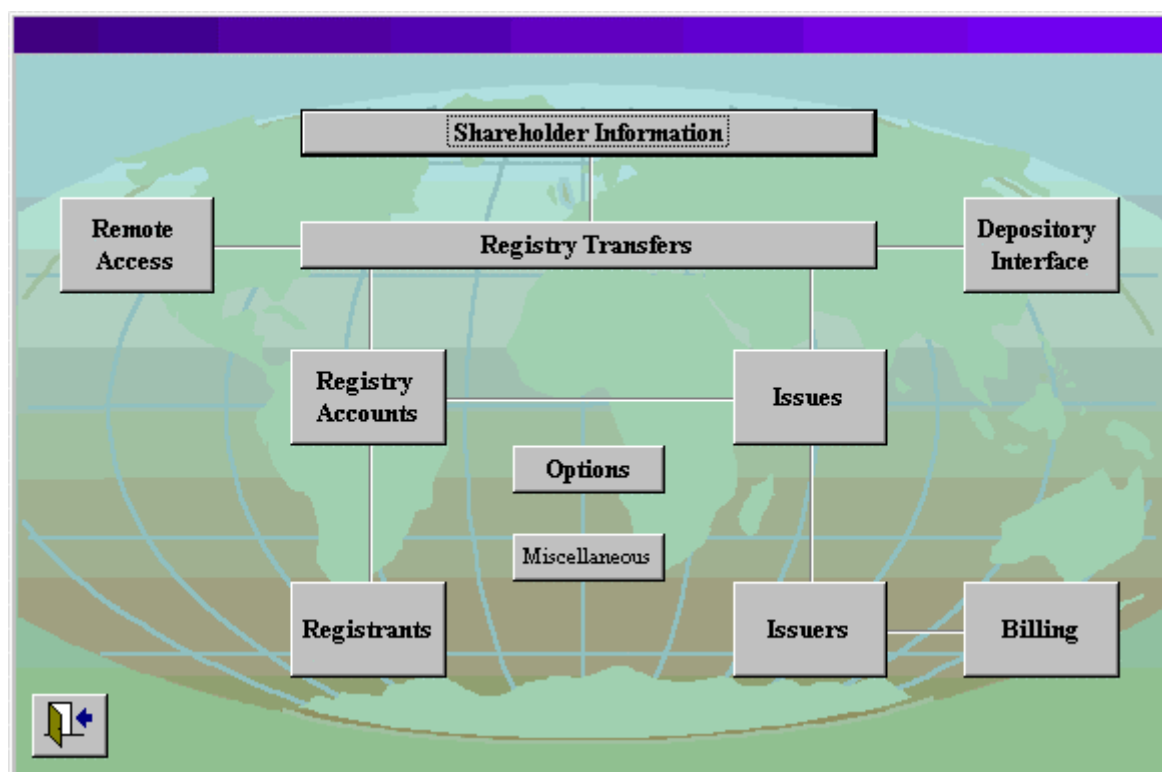
- ❑ turn PC on
- ❑ move mouse arrow to lower left corner of screen
- ❑ from the Start Menu button at the bottom left corner of the Windows desktop:
- ❑ select Programs
- ❑ select ISR from this menu
- ❑ move to the right of ISR and a menu with USAID ISR as a selection appears
- ❑ click on this selection(ISR)
- ❑ next display is the log-in window screen (**see example**) overlapping the logo



- ❑ type your ISR password in the Logon window( ISR verifies your password and displays its Main Menu screen. If ISR cannot verify your password, it will notify you that the password you entered is not valid. Re-enter the correct password.

### ISR Main Menu

Welcome to the ISR Main Menu:



The ISR Main Menu consists of the menu bar, the toolbar, and nine icons representing the ISR database, the Depository Settlement and Clearance (DSC) interface and one Exit icon. The Main Menu is the gateway to more detailed inquiry and input information contained behind each icon. The ISR Main Menu icons and a brief description of each are as follows:

- ❑ Shareholder Information - provides detailed information about what securities customers own, share activity that has occurred in each account by security and who the shareholders are within each issue. Reports are also produced from this menu selection that list shareholders by issue (Issue Shareholder Report), position and activity by account number (Account Statement) and activity by account (Account Activity Advice).
- ❑ Registry Transfers - shows a list of all securities transfers which have been processed or are in process
- ❑ Registry Accounts - lists customers who have had securities processed by the Registry
- ❑ Registrants - reflects by individual or organization the registrations that have been processed by the Registry
- ❑ Issues - list of all Registry securities
- ❑ Issuers - shows all corporations that have shares traded by the NASDAQ

- ❑ Billing - allows for the billing of Registry transaction services in detail and summary form
- ❑ Options (Registry options) - provides the ability to customize information in required entry fields
- ❑ Remote Access - shows all broker/ dealers contacts and their organizations that can make transfers to street name via modem to the Registry
- ❑ Depository Interface - lists transfer requests sent from Depository to Registry for processing
- ❑ Exit ISR - icon that looks like an open door and allows you to click and exit ISR

## Traveling Around the Registry System

### Using Icons

Icons are outlined boxes or circles which have symbols or writing inside. They represent an action or underlying information.

To access icons just click once on the icon. An action will occur or information will be presented to you.

### Using Pull Down Selection Boxes (Combo Boxes)

Pull downs usually have triangular pointers pointing downward inside a box. Click on the box but do not release the button. As you hold the button pull down the box. Various options appear to the left of the box.

Highlight the option desired by lining up the box next to the option. Once the option is highlighted then click on the option and it will be inserted into the open field. If the option desired is shown immediately then just click on it.

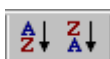
### Data Entry Fields

For open fields which require data inserted, click in the open field and start typing the desired information. When finished Tab to the next field.

### Sorting Displayed Data

Certain screens allow users to arrange fields in ascending or descending order (alphabetically or numerically). To sort a field click on the intended field, as the cursor rests in the field click on the icon shown with the A to Z display and the field will adjust in ascending order. Descending order is accomplished by clicking on the icon with the Z to A display.

Sort Icon example:

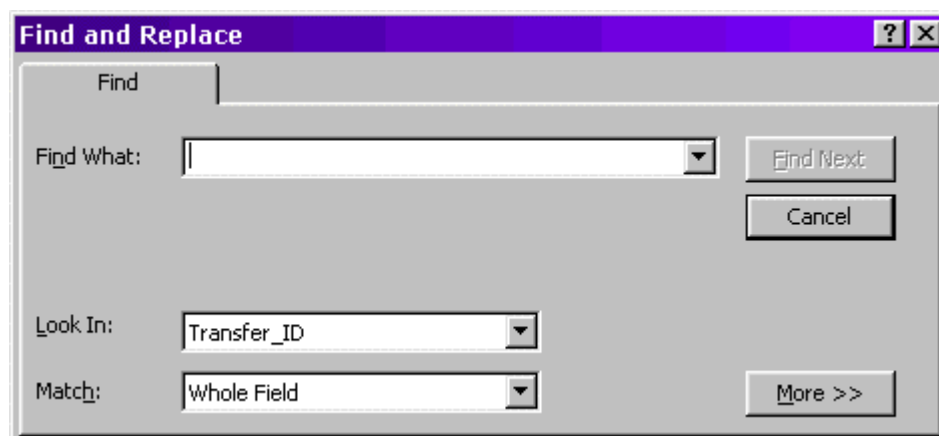


### Using Find

If a list is composed of many items and it is time consuming to locate the desired data by using pull downs, a more expedient method may be to use the Find function. This is a

search mechanism that is selected from the Edit pull down menu on the menu bar at the top of the screen.

When you select Find the following dialog box appears:



You must know the data you are looking for to use Find. Type all or part of the data that you are searching for. In the Look In field select which data field on the current form to search. In the Match field you can select Whole Field for an exact match, Start of Field to match the first field that contains data beginning with what you type in the Find What box, or you can select Any Part of Field to match what you type with any position in the field.

#### Main Menu, Sub Menus and Input Screens Relationships

- ❑ Main menus provide the broad headings for which to locate a more specific category of data, the sub menu
- ❑ Sub menus are more detailed groupings of data and usually take the form of inquiry screens which offer additional choices or access to data input screens
- ❑ Input screens are the lowest layer of this multilayer system and provide the user with the ability to add new data or to modify existing data.

#### Accessing Sub Menus and Input Screens

- ❑ From the Main Menu Click on the desired icon this will open up its sub menu(s)
- ❑ From the sub menu more icons may appear to click on to advance or inquiry information screens with more options to click on and view.
- ❑ To reverse direction or end the application in most sub menus Click on the Cancel button.

- ❑ When the sub menu has the word New at the bottom click on this button to access the input screen.
- ❑ Click the Save button to store data when input is completed

#### **How Do I Exit ISR?**

You have four options for exiting from ISR:

##### ***From the Main Menu Screen:***

Click on the Exit icon ( lower left corner) on the main menu screen (it looks like an open door) then click on the Exit option.

*Example:* Click the icon to **Exit→Exit**

##### ***From the Main Menu Bar***

Click on the **File** option then click on the **Exit** option.

*Example:* Click **File→Exit**

##### ***From the Toolbar***

Click on the **Quit ISR** tool ( the open door symbol - upper right corner ) on the toolbar.

*Example:* Click **Quit ISR→Exit→Exit**

##### ***From Main Menu Window X***

Click on the square with the X in the center of it.

*Example:* Click X

When you click the Exit option you are prompted with a window and the options to click on 'Exit' again for final exit of ISR, or 'Do Not Exit' which returns you to ISR's Main Menu screen.



## Chapter 3: Registry Sub-Menus And Options

The Sub Menus discussed below are arranged under their respective Main Menu headings which were discussed in Chapter 2.

### Shareholder Information Menu

This function brings up a submenu of various shareholder information screens. Click on any button to view the forms associated with each function.



### Current Holdings by Account

A screenshot of a software window titled "Shareholdings by Account#". The window has a purple title bar and standard Windows window controls. It features a form with the following fields: "Account#:" with the value "2", "Type:" with the value "Single", and "Status:" with the value "Unrestricted". To the right of these fields are three buttons: "Previous", "Next" (highlighted with a dashed border), and "Close". Below the form fields is a table with two columns: "Trading Symbol" and "Current Holdings". The table contains two rows of data: "CAPSYS" with a value of "3,600" and "PIZZA" with a value of "4,100". To the right of the table are three more buttons: "Transfer History" and "Account Owners".

Trading Symbol	Current Holdings
CAPSYS	3,600
PIZZA	4,100

This inquiry screen reflects the current security position(s) in each account and is used for account look up information.

To move to another account within this screen either click on the Next or Previous button or use the Find method discussed in Chapter 2 to type in and access desired account. **See example below:**

From this sub menu you can access the Shareholding History screen and the detail behind each transfer or the Account Owner Detail screen.

### Shareholding History

The screenshot shows a window titled "Shareholding History". At the top, there are input fields for "Account#:" (value: 2), "Type:" (value: Single), and "Status:" (value: Unrestricted). Below these are "Symbol:" (value: CAPSYS) and a description "Capital Systems Market Software". A "Current Holdings:" field shows the value 3,600. The main part of the window is a table with the following columns: Transfer ID#, Date/Time, Shares Xfer'd, Transfer Type, and Status. The table contains five rows of data. At the bottom of the window are four buttons: Previous, Next, Close, and View Detail.

Transfer ID#	Date/Time	Shares Xfer'd	Transfer Type	Status
2	16/04/99 1:31:26 PM	10,000	Original Issue	Completed
7	16/04/99 5:43:07 PM	-500	To Street	Completed
12	17/04/99 2:57:51 PM	100	From Street	Completed
15	23/04/99 11:04:59 PM	-5,000	To Street	Completed
18	04/05/99 11:06:15 AM	-1,000	To Street	Completed

- ❑ Reflects transfer activity by account and security within and is used for transfer research. -inquiry only screen
- ❑ Move by clicking on the Next button or applying the Find method and typing in the desired account number.
- ❑ Transfer detail can be obtained by clicking on the desired transfer and clicking on the View Detail button . **Example:**

**Registry Transfer Detail**

Transfer Type:  
☐ Original Issue  
☐ Issue Retirement  
☒ to Street Name  
☐ from Street Name  
☐ Account Transfer

Transfer Date/Time: 23/04/99 11:06:09 PM  
 Requested by: TSmith  
 Request Reason: Broker Action

DB Account#: 3 Pragma ID# 1313  
 Symbol: CAPSYS ID: 2 ISIN: R0777333  
 Capital Systems Market Software Shares Transferred: 5,000

CR Account#: 1 Depository ID# 1 FBO DCS Acct#: 3 2  
 Status: Completed ISR Transfer ID#: 17  
 DCS Transfer ID#:

New Save Cancel

### Shareholder Lists by Issues

**Shareholders by Issue**

Symbol: CAPSYS Capital Systems Market Software  
 Type: Common Stock Status: Publicly Traded  
 Issuer: Capital Systems

Previous Next Close Transfer History

Account#	Current Holdings
1	13,900
2	3,600
3	2,500

- Lists the underlying account owners by issue and is used to research which customers own a particular security. - inquiry only screen
- Click on the Previous or Next buttons to move to other issues or use the Find method and enter the desired issue.
- Transfer history can be accessed from this screen by selecting the account desired and clicking on the Transfer History button. **See previous Transfer Detail example:**

A discussion of Sub Menu Reports is deferred until Chapter 7.

### Registry Transfers

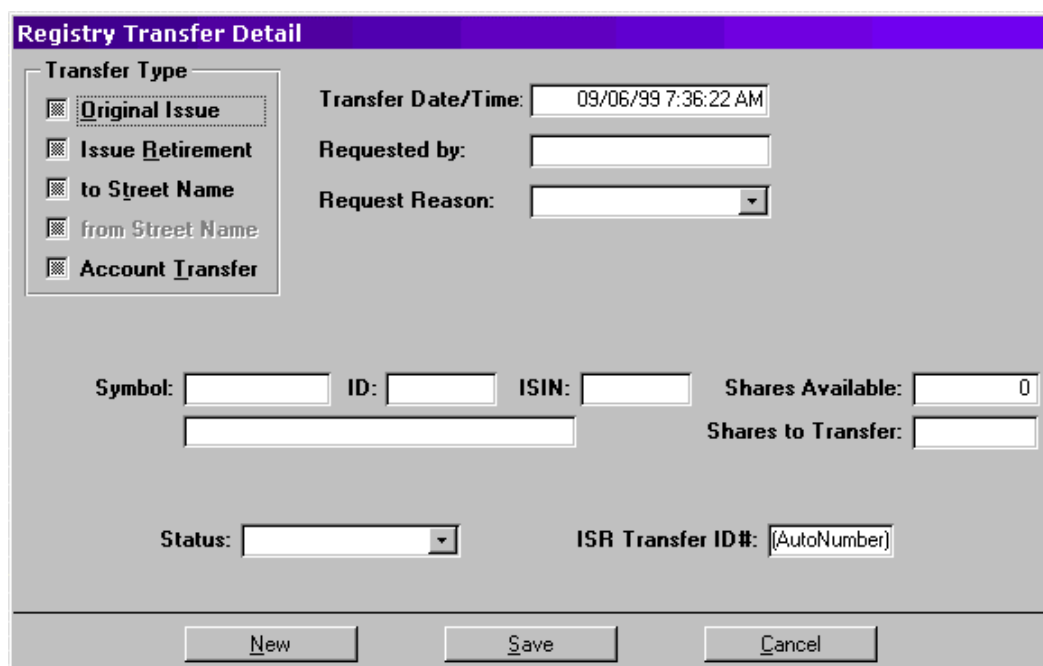
#### Registry Transfer List

C	ID#	Date	Symbol	Shares	Type	DB Acct#	CR Acct#	Status
<input type="checkbox"/>	5	16-Apr-99	PIZZA	500	To Street	3	1	Completed
<input type="checkbox"/>	6	16-Apr-99	CAPSYS	500	To Street	3	1	Completed
<input type="checkbox"/>	7	16-Apr-99	CAPSYS	500	To Street	2	1	Completed
<input type="checkbox"/>	8	16-Apr-99	PIZZA	500	To Street	2	1	Completed
<input type="checkbox"/>	9	17-Apr-99	PIZZA	100	From Street	1	3	Completed
<input type="checkbox"/>	10	17-Apr-99	PIZZA	100	From Street	1	3	Completed
<input type="checkbox"/>	11	17-Apr-99	PIZZA	100	From Street	1	3	Completed
<input type="checkbox"/>	12	17-Apr-99	CAPSYS	100	From Street	1	2	Completed
<input type="checkbox"/>	13	17-Apr-99	PIZZA	100	From Street	1	2	Completed
<input type="checkbox"/>	14	23-Apr-99	PIZZA	5,000	To Street	2	1	Completed
<input type="checkbox"/>	15	23-Apr-99	CAPSYS	5,000	To Street	2	1	Completed
<input type="checkbox"/>	16	23-Apr-99	PIZZA	5,000	To Street	3	1	Completed
<input type="checkbox"/>	17	23-Apr-99	CAPSYS	5,000	To Street	3	1	Completed
<input type="checkbox"/>	18	04-May-99	CAPSYS	1,000	To Street	2	1	Completed
<input type="checkbox"/>	19	04-May-99	CAPSYS	1,000	To Street	3	1	Completed
<input type="checkbox"/>	20	04-May-99	CAPSYS	1,000	To Street	3	1	Completed
<input type="checkbox"/>	21	04-May-99	PIZZA	1,000	To Street	2	1	Completed
<input type="checkbox"/>	22	04-May-99	PIZZA	1,000	To Street	3	1	Completed
<input type="checkbox"/>	23	04-May-99	PIZZA	500	From Street	1	2	Completed

View Detail   New   Filter Criteria

Ready

- ❑ Provides a list of transfers processed and in process and can be sorted by many categories. The purpose of this screen is to inquire about transfers and to process new ones.
- ❑ Click on the View Detail button to obtain transfer detail. **See previous example:**
- ❑ A New Registries Transfers Detail screen can be accessed by clicking on the New button. This screen allows the user to process various types of customer transfers. **See example:**



**Registry Transfer Detail**

**Transfer Type**

- ☒ Original Issue
- ☐ Issue Retirement
- ☐ to Street Name
- ☐ from Street Name
- ☐ Account Transfer

Transfer Date/Time: 09/06/99 7:36:22 AM

Requested by:

Request Reason:

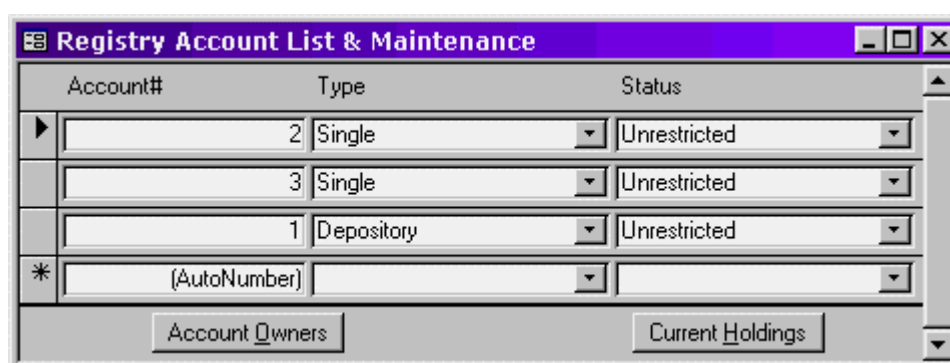
Symbol:  ID:  ISIN:  Shares Available:

Shares to Transfer:

Status:  ISR Transfer ID#: (AutoNumber)

## Registry Accounts

### Registry Account List and Maintenance



**Registry Account List & Maintenance**

Account#	Type	Status
2	Single	Unrestricted
3	Single	Unrestricted
1	Depository	Unrestricted
*	(AutoNumber)	

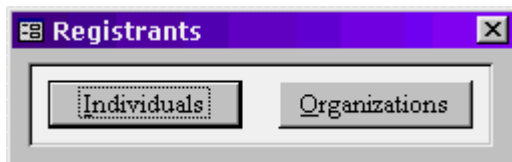
- ❑ This screen lists customer account numbers within the Registry system. It's purpose is to provide inquiry capability and to link to account detail screens and a new account setup screen.
- ❑ Use the scroll bar at the right to move through the account list and to obtain a blank account field for entering new account information.
- ❑ For inquiry regarding an account's Current Holdings, Click on the desired account number and then Click on the Current Holdings icon . This leads the user back to the Shareholdings by Account Number screen and choices of Transfer History or Account Owners detail inquiry screens.
- ❑ To set up a new account, fill in the Type and Status fields and Click in the Auto Number box. The next sequential account number is assigned. Then Click on the box of the new assigned account number and Click on the Account Owners selection icon at the screen bottom. The

Registry Account Owner Relationship screen appears and is where customer account details are entered.

**Note:** The fields in the Account Owner Relationship screen should only be completed once a customer's registration has been established.

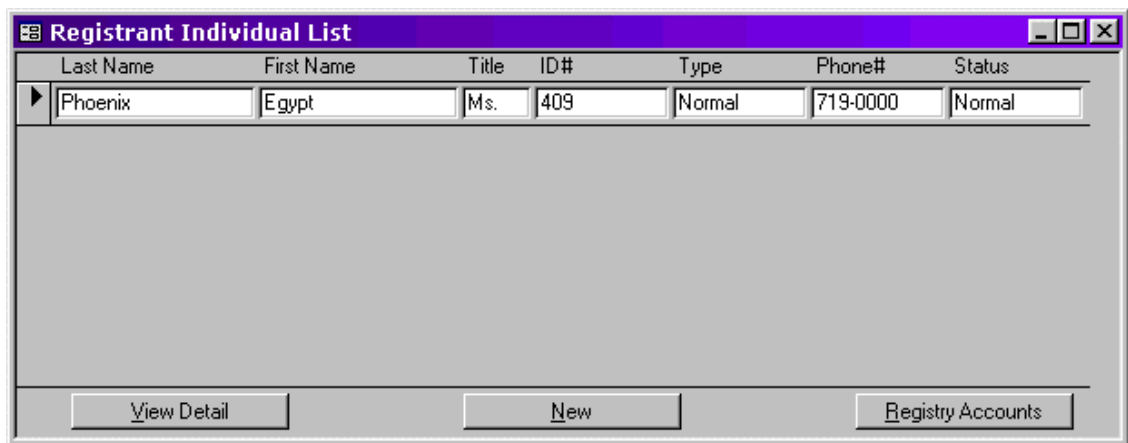
### Registrants

#### Registrants - Selection screen

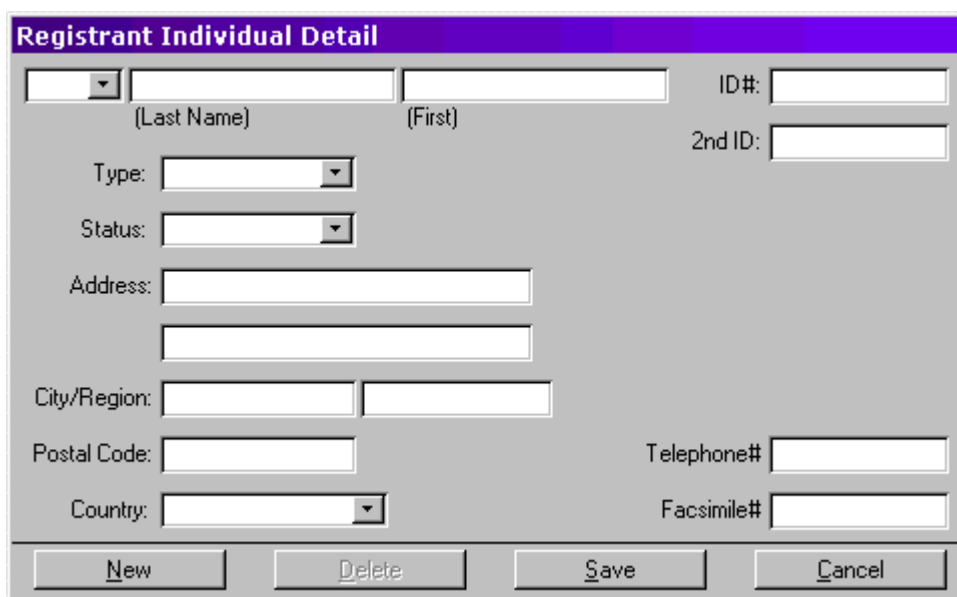


- ❑ Requires that the user choose between the type of registration either an Individual or Organization. This screen is a link to more detailed inquiry and input screens.
- ❑ Click on the registration of choice ( Individual or Organization).

#### Individual



- ❑ If the Individual icon is chosen the Registrant Individual List screen appears. This inquiry only screen can be sorted by many categories. Locate and click on registrant name or use the Find method to enter the registrant name of choice.
- ❑ For detail of an individual's registration or account information select the customer by clicking on the individual and then click on the View Detail or Registry Accounts respective icon.
- ❑ To establish a new registration click on the New button and the Registrant Individual Detail screen appears. **Example:**



**Registrant Individual Detail**

(Last Name)     (First)    ID#:

Type:     2nd ID:

Status:

Address:

City/Region:

Postal Code:     Telephone#:

Country:     Facsimile#:

### Organization

- ❑ The process to view the Registrant Organization list is the same as for an Individual.
- ❑ The Registrant Organization List screen is similar to the Registrant Individual List screen except that it also offers the ability to view and add organization contacts and their detail for communication purposes.

### Contact list screen



**Registrant Organization Contact List**

Organization:     ID#:    

Contact for	Name	Title	Phone#
▶ Accounts Payable	Ms. Tian Shan	Payables Manager	+1(949)213-1313

### Contact detail screen

Registrant Organization Contact Detail			
Organization Name:	Pragma		Contact for: Accounts Payable
Phone:	+1(949)213-1313		Fax: +1(949)213-1312
Contact Name:	Shan (Last)	Tian (First)	Ms.
Title:	Payables Manager		
Address:	28 Burdock Road		
City/Region:	Laguna Beach	California	
Postal Code:	92651	Country:	U.S.A.
<input type="button" value="New"/> <input type="button" value="Delete"/> <input type="button" value="Save"/> <input type="button" value="Cancel"/>			

- ❑ From the Contact List screen a new organization account contact can be established by Clicking on the New button . **The form above appears but blank to enter a new contact for this Organization:**
- ❑ To establish a new registrant Click on the New button on the Registrant Organization list and the Registrant Organization Detail screen appears.

Registrant Organization Detail	
Name:	ID#:
Type:	2nd ID:
Status:	
Address:	
City/Region:	
Postal Code:	Telephone#
Country:	Facsimile#
<input type="button" value="New"/> <input type="button" value="Delete"/> <input type="button" value="Save"/> <input type="button" value="Cancel"/>	

**Note:** An organization registration must be established before contacts can be entered.



### Issues

#### Issues List

Symbol	Issue ID	ISIN	Type	Status
CAPSYS	2	R0777333	Common Stock	Publicly Traded
Issuer: Capital Systems				
PIZZA	1	R0980999	Common Stock	Publicly Traded
Issuer: Timz Pizza				

Buttons: View Detail, New, Issuance History, Shareholder List

- Provides the user with a list of all issues processed at the Registry. The Issues List inquiry screen is a link to issue detail inquiry and new issue input screens. The Issue List screen can be sorted for user preference. To access an issue either scroll forward or use the Find method and enter the required issue name.
- For issue details Click on the issue to be viewed and then Click on the View Detail button. The following Issue Detail screen appears:

**Issue Detail**

Trading Symbol: CAPSYS      Total Outstanding: 20,000

Issue ID: 2      Type: Common Stock

Issue ISIN: R0777333

Description: Capital Systems Market Software

Issued by: 22      Status: Publicly Traded

Capital Systems  
29 Rue de Place  
709-9098

Buttons: New, Delete, Save, Cancel

- From this screen the selected issue detail can be altered by typing over it and Saved. A new issue can also be added by Clicking on the New button and filling in the Issue Detail screen and Clicking on the Save button.

- The issue's Issuance History is available by Clicking on that button . **The following screen appears:**

**Issuance History**

Issue Symbol:  Type:   
 Description:  Status:

Issuance Date/Time	Units	Par/Face Value	Capital Value
▶ 16/04/99 1:17:22 PM	100,000	\$22.00	\$2,200,000.00

Total Shares Authorized:   
 Total Capital Value:   
 Total Shares Outstanding:

- This screen lists the company's requested issuance of that security. The details behind each issuance can be obtained by Clicking on the View Detail button. **Example:**

**Issuance Detail**

Trading Symbol:  Issue Date:

Type:

Shares Authorized:  Par Value:   
 Capital Value:  for this Issuance

Total Shares Authorized:   
 Total Capital Value:   
 Total Shares Outstanding:

- Users can enter company's new security issuance information by Clicking on the New button in the Issuance Detail screen and completing the fields . Clicking on New from the Issuance History screen will also direct users to the same screen with blank fields for input.
- The Shareholder by Issue inquiry screen can also be accessed by Clicking on the Shareholder List button.

Account#	Current Holdings
1	13,900
2	3,600
3	2,500

## Issuers

### Issuer List

Name	ID#	Type	Phone#	Status
Capital Systems	22	Corporation	709-9098	Active
Timz Pizza	13	Corporation	707-1234	Active

- ❑ Lists all issuers of securities at the Registry. Issuer List screen is for inquiry purposes as well as to link to issuer detail inquiry and new issuer input screens . This screen can be sorted by the various categories available. Issuer List details can be accessed by scrolling to a specific issuer or by typing in the selected issuer name after using the Find method.
- ❑ For issuer details Click on the issuer to be viewed and then Click on the View Detail button. The following Issuer Detail screen appears: From this screen the selected issuer detail can be altered by typing over it and clicking Save. A new issuer can also be added by Clicking on the New button , filling in the Issuer Detail screen and Clicking on the Save button.

**Issuer Detail**

Name:  ID#:

Type:  2nd ID#:

Status:

Address:

City/Region:

Postal Code:  Telephone#:

Country:  Facsimile#:

- The issuer's contacts are available by Clicking on that button . **The following screen appears:**

**Issuer Contact List**

Issuer:  ID#:  Corporation:

Contact for	Name	Title	Phone#
Public Relations	Ms. Sheila Chan	Director PR	+1(702)133-4948

- This screen lists the company's various representatives. The details behind each contact can be obtained by Clicking on the View Detail button.
- Users can enter issuer's contact information by Clicking on the New button in the Contact Detail screen and completing the fields . Clicking New from the Issuer Contact List screen will also direct users to the same screen for input.
- The Issues by Issuer inquiry screen can be accessed by Clicking on the Issues button. Details of selected issues from this screen can be accessed by Clicking on the View Detail button.

**Example:**

The screenshot shows a window titled "Issues by Issuer". It contains search fields for "Timz Pizza", "ID#: 13", "Type: Corporation", and "Status: Active". Below these is a table with columns: Symbol, Issue ID, ISIN, Type, and Status. The table contains one row: PIZZA, 1, RD980999, Common Stock, Publicly Traded. A "View Detail" button is at the bottom.

Symbol	Issue ID	ISIN	Type	Status
PIZZA	1	RD980999	Common Stock	Publicly Traded

Discussion of the Remote Access and Depository Interface sub menus and input screens is deferred until Chapter 6. The Billing sub menu and input screen is addressed in the reports chapter- Chapter 7.

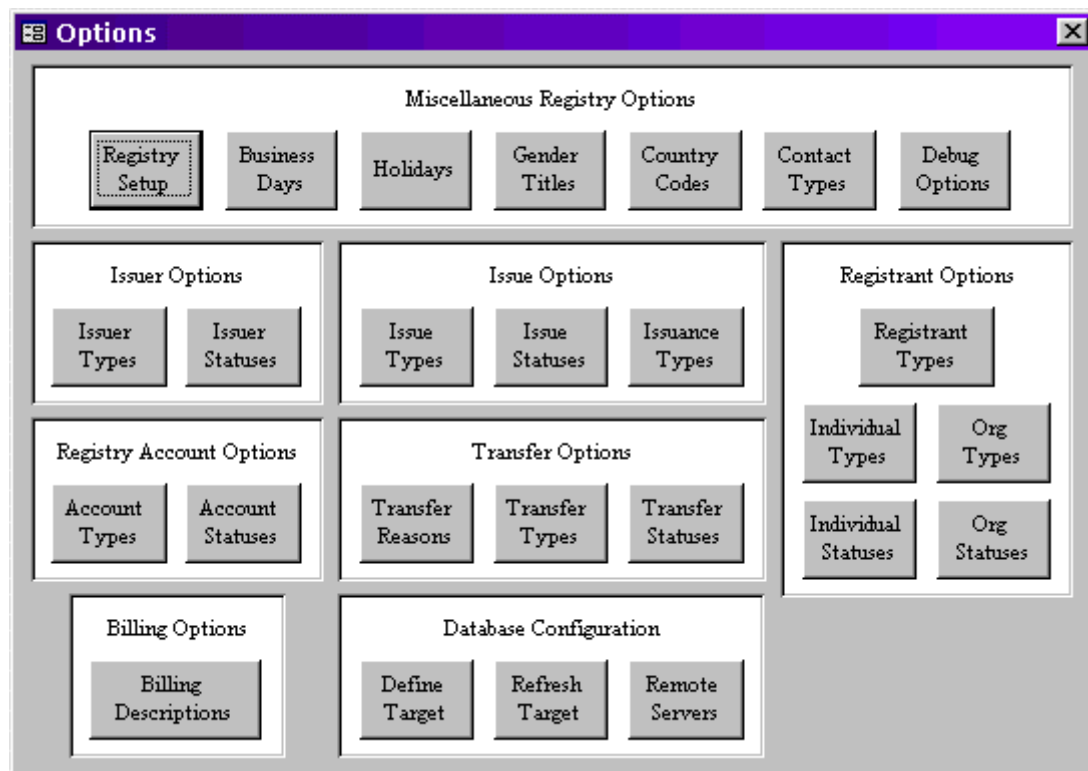
### What are Registry Options?

Registry options are choices within specific categories that allows the ISR system to be customized to meet user needs.

#### Who Uses Registry Options?

Your ISR Administrator is authorized to activate Registry options. The Administrator is also responsible for modifying the Registry options for users.

From the Main Menu click the Options icon. ISR displays the Registry Options screen.



This screen displays eight options headings with icons under each. The options headings are:

- Miscellaneous Registry Options
- Issuer Options
- Issue Options
- Registrant Options
- Registry Account Options
- Billing Options
- Transfer Options
- Database Configuration

Each icon of each option heading is discussed below:

**Miscellaneous Registry Options**

Registry Setup - assigns the Registry information to be used. Only one Registry can be assigned per system. Displays the ID, Name, Address and Telephone number for the Registry.

Business Days - Lists the normal business days for the new Registry. Important for transaction processing timeframes. Example: Monday

Holidays -Lists the regularly scheduled holidays observed by the Registry. These need to be taken into consideration for system processing purposes. Example: Christmas - December 25<sup>th</sup>.

Gender Titles - Lists gender prefixes and marital statuses to be used. Identifies customer account gender and marital status. Example: Mr. or Mrs.

Country Codes - Lists country abbreviations to be assigned to name and address screens. Provides country detail for mailing purposes. Example: Romania - RO

Contact Types -Lists different contacts within a corporation. Provides a quick reference when contacting the issuer. Example: Accounts Payable

Debug Options (not used )

**Issuer Options**

Issuer Types - shows choices of issuer entities. Allows user to categorize and define issuers. Example: Corporation

Issuer Status - lists issuer conditions. Allows issuer's present condition to be reflected. Example: Bankruptcy

**Issue Options**

Issue Types - lists forms security issues can take. Identifies what security form the user is working with. Example: Common Stock

Issue Statuses - shows issue conditions. Identifies the state a security is in. Example: Publicly Traded

Issuance Types - lists categories of security issuance. Under what situation was a security issued. Example: MPP

**Registrant Options**

Registrant Types - indicates what form the registration takes. Determines whether the registration is an person or entity. Example: Individual

Individual Types - lists characteristics of individual registrations. To identify account holders situation. Example: Minor

Individual Status - present condition of an individual. Provides information on an individual's capacity. Example: Deceased

Organization Types - reflects different organization classifications . Identifies the form of organization for account purposes. Example: Corporation

Organization Status - reflects the condition of an organization. Provides information on an organization's capacity. Example: Closed

#### **Registry Account Options**

Account Types - lists account designation choices. To identify different possible customer accounts. Example: Single

Account Status - shows various account conditions. Provides account conditions to be attributed to each account. Example: Restricted

#### **Billing Options**

Billing Codes Description - describes Registry activities which are chargeable. Provides a method to produce revenue from Registry functions. Example: Shareholder Report printing

#### **Transfer Options**

Transfer Reasons - lists actions that originated the transfer request. Identifies the purpose for the transfer. Example: Gift

Transfer Types - lists securities transfer processes. Identifies what form the transfer will take. Example: to Street Name

Transfer Status - location of transfer or action affecting the transfer. Reflects what is happening to the transfer. Example: at Depository

#### **Performing Registry Setup**

- ❑ Setting up a Registry in ISR requires that you identify the registry organization and gather information such as name, address, phone number, id# , etc.
- ❑ From the ISR Main Menu click the Options button. ISR displays the Miscellaneous Registry Options heading.
- ❑ Click the Registry Setup icon under this heading.
- ❑ Fill in the required data fields by clicking and typing the information in each field. After all the information is typed click on the X in the upper right corner. The computer will save the information.



### Filling in Option Choices

- ❑ Option choice add areas are accessed by 3 methods: fill in fields, pointing and clicking and pull down screens. These techniques were discussed in Chapter 2.
- ❑ Once the desired option input field is reached type the option and click on the auto number field. The option screen will automatically assign the new option a number.

## Chapter 4: Registry Data Entry, Inquiry and Retrieval

The information contained in this chapter provides the user with a step by step approach to accessing, viewing and completing the input screens in the ISR system required to establish registrants, accounts, issuers, issues and process transfers.

### ISR Screens

#### Registry Transfers Detail Screens

Transfers require that registrants, accounts, issuers and issues are established before they can be processed. If you have not completed any of these steps for the intended transfer please do so by referring to the information below.

Access the **input screens below** by Clicking on the New button from the Registry Transfer List screen or the Registry Transfer Detail screen then choose the Transfer Type to be processed. These Types are point and click options. Since the transfer type selected affects how the screen appears and the data input required we decided to show examples of each. Data that is common to more than one transfer screen is explained only once. Transfer Types, descriptions, screen examples and data fields are represented as follows:

#### *Original Issue*

Selected when an issuing company first makes its shares available to the buying public on an exchange and the shares are registered to the buying individuals.

The screenshot displays the 'Registry Transfer Detail' window. On the left, under 'Transfer Type', the 'Original Issue' option is selected with a checked checkbox. Other options include 'Issue Retirement', 'to Street Name', 'from Street Name', and 'Account Transfer'. To the right, the 'Transfer Date/Time' is set to '09/06/99 8:27:54 PM', 'Requested by' is 'Admin', and 'Request Reason' is an empty dropdown. Below these, there are input fields for 'Symbol', 'ID', 'ISIN', and 'Shares Available' (set to 0). A 'Shares to Transfer' field is also present. The 'CR Account#' field is split into two input boxes. At the bottom, there are 'Status' and 'ISR Transfer ID#' dropdowns. The window concludes with 'New', 'Save', and 'Cancel' buttons.

- ❑ Transfer date/time - system automatically dates and time stamps each transfer request(Required Field (RF))
- ❑ Requested by - user sign on ID is automatically filled in this field by the system (RF)
- ❑ Request reason - pull down field for selecting and inserting the reason for transfer (RF)
- ❑ Symbol - unique alphabetical abbreviation for each issue. (RF) Type in symbol and Enter or Click on the symbol and the issue ID # , ISIN# ,description and shares available to transfer are automatically entered by the system.
- ❑ Cr Account # - this field when information is entered processes the system's bookkeeping entries affecting the entered account number.(RF) Cr - increases the account balance for the account input. Once the account number is typed and entered the system automatically inserts the account name and ID# in the box to its right.
- ❑ Shares to transfer - user inputs the issue quantity to be transferred.(RF) This amount must not be greater than the amount in the Shares Available field.
- ❑ Status - the present condition of a transfer (RF) , automatically completed by the system
- ❑ ISR Transfer ID# - system automatically assigns each transfer request its own unique identifying number. (RF)

To process transfers make sure all required fields are completed then Click on the Save button. The user must Click on the Save button to store new data entered each time a new transfer is processed.

Cr account # field is the only account choice since the system automatically debits the depository account.

### Issue Retirement

Selected when a publicly traded issuer buys back its securities from its shareholders and the shares are de-registered.

**Registry Transfer Detail**

**Transfer Type**

- ☐ Original Issue
- ☒ Issue Retirement
- ☐ to Street Name
- ☐ from Street Name
- ☐ Account Transfer

Transfer Date/Time: 09/06/99 8:27:54 PM

Requested by: Admin

Request Reason:

DB Account#:

Symbol:  ID:  ISIN:  Shares Available:

Shares to Transfer:

Status:  ISR Transfer ID#:

- ☐ Retirement decreases the account balance for the account input
- ☐ The amount in the Shares to Transfer field may not be greater than the Shares Available field and the balance of the shares in the Debited Customer's account.

DB account # is the only account choice since the system automatically credits the depository account .

### *To Street Name*

Selected when a security is registered to a customer and is sold so that delivery to the buyer may be made. Also used when shares are in registered form and owner wishes them to be in street name.

Registry Transfer Detail			
<b>Transfer Type</b> <input type="checkbox"/> Original Issue <input type="checkbox"/> Issue Retirement <input checked="" type="checkbox"/> to Street Name <input type="checkbox"/> from Street Name <input type="checkbox"/> Account Transfer		<b>Transfer Date/Time:</b> 23/04/99 11:06:09 PM <b>Requested by:</b> TSmith <b>Request Reason:</b> Broker Action	
<b>DB Account#:</b> 3 Pragma ID# 1313			
<b>Symbol:</b> CAPSYS Capital Systems Market Software		<b>ID:</b> 2 <b>ISIN:</b> R0777333	
<b>CR Account#:</b> 1 Depository ID# 1		<b>Shares Transferred:</b> 5,000 <b>FBO DCS Acct#:</b> 3 2	
<b>Status:</b> Completed		<b>ISR Transfer ID#:</b> 17 <b>DCS Transfer ID#:</b>	
<div> <input type="button" value="New"/> <input type="button" value="Save"/> <input type="button" value="Cancel"/> </div>			

Db account # and Cr account # fields appear but the credit account number must be the depository account number. Also the FBO DCS A/C # field appears so that the broker's account number at the depository can be specified and credited.(RF)

### *From Street Name*

Selected when customers wish their security to be registered in their name and the shares are presently in street name. These transfers originate from the depository so this is not a point and click option. This option field is checked off when inquiring about a depository transfer.

When shares are transferred from one owner's account to another.

Db and Cr account #'s must be inserted to process.

### *Canceling Transfers:*

Processed transfers that must be canceled are accessed through the Registry Transfer List screen and selecting the View Detail command. A Cancel Transfer button appears on the Registry Transfer Detail screen. Click on this button to cancel a processed transfer.

Registry Transfer Detail			
<b>Transfer Type</b> <input type="checkbox"/> Original Issue <input type="checkbox"/> Issue Retirement <input type="checkbox"/> to Street Name <input type="checkbox"/> from Street Name <input checked="" type="checkbox"/> Account Transfer		<b>Transfer Date/Time:</b> 09/06/99 8:40:25 PM <b>Requested by:</b> Admin <b>Request Reason:</b> Direct Transfer	<input type="button" value="Cancel Transfer"/>
<b>DB Account#:</b> 2 Egypt Phoenix ID# 409			
<b>Symbol:</b> PIZZA Timz Pizza -- The Best	<b>ID:</b> 1 <b>ISIN:</b> R0980999	<b>Shares Transferred:</b> 100	
<b>CR Account#:</b> 3 Pragma ID# 1313			
<b>Status:</b> Completed	<b>ISR Transfer ID#:</b> 24		
<input type="button" value="New"/> <input type="button" value="Save"/> <input type="button" value="Cancel"/>			

The action of canceling the transfer is linked to the Registry Transfer List screen which will reflect the canceled transfer with a check mark in the C column next to the canceled transfer detail.

### Issuers Detail screen

To access the below blank issuer input screen enter the Issuers List sub menu and select New or from the Issuer Detail screen Click on New. An issuer must be established in the system before an issue may be created.

The screenshot shows a software window titled "Issuer Detail" with a purple header bar. The window contains several input fields and dropdown menus arranged in two columns. The left column includes fields for Name, Type (dropdown), Status (dropdown), Address (two stacked text boxes), City/Region (two stacked text boxes), Postal Code, and Country (dropdown). The right column includes fields for ID#, 2nd ID#, Telephone#, and Facsimile#. At the bottom of the window, there are four buttons: "New", "Delete", "Save", and "Cancel".

The following input fields are required to establish an issuer:

- ☐ Name- type in organization 's name Required Field (RF)
- ☐ ID# - type in issuer's unique identifying number (RF)
- ☐ 2<sup>nd</sup> ID# - type in issuer's 2<sup>nd</sup> unique identifying number (RF)
- ☐ Type - select the form of organization that is issuing the security (RF), pull down field
- ☐ Status - select the present condition of the organization issuing the security (RF) - pull down field
- ☐ Address - type organization's address (RF)
- ☐ City/Region - part of address (RF)
- ☐ Postal Code - part of address (RF)
- ☐ Country - name of country where issuer organization is located, pull down field (RF)
- ☐ Telephone # - type telephone # of issuer organization (RF)
- ☐ Facsimile # - type in the facsimile number of the issuer organization -( not required field)



### Issues Detail Screen

To access the issues input screen below enter the Issue List screen and select New or from the completed Issue Detail screen select New, a blank Issues Detail screen will appear.

The input items on the Issues Detail screen are detailed as follows:

- ❑ Trading symbol - same as symbol , type in the unique alphabetical abbreviation for each issue.  
Required Field (RF)
- ❑ Issue ID - Type in the unique number that identifies each specific security issue(RF)
- ❑ Issue ISIN - International Security Identification Number, type in the number that gives each Romanian security its own unique global identity(RF)
- ❑ Type - pull down field for the security form that the issue will take(RF)
- ❑ Issued by - Type in the issuer's organizational ID#. This allows the system to automatically insert in the unlabeled field below the name, address and telephone # of the issuing organization(RF)
- ❑ Status - pull down field to insert the present condition of the security(RF)

### Registrants screen

**The registrant process is a critical link to the establishment of an account and must occur prior to the account set up in the ISR.** In the Registrant sub menus the user must choose either an Individual or Organization registration. As far as the setting up of a registrant goes both input screens are almost identical. To eliminate redundancy we will follow the path to establish an individual registrant. After selecting Individual from the sub menu the Registrant Individual List screen appears. Click on New for a blank Registrant Individual Detail input screen or Click on New from the Registrant Detail screen for the blank screen.

**Registrant Individual Detail**

(Last Name)  (First) ID#:

2nd ID:

Type:  Status:

Address:

City/Region:

Postal Code:  Telephone#

Country:  Facsimile#

The input items on the Registrant Individual Detail screen are as follows:

- ☐ Gender - select registrant's gender or marital status from the pull down field. Required Field (RF)
- ☐ Last and First Names - Type in the individual 's last and first names in the fill in fields. It is important that the names are entered in this order for recordkeeping and mailing purposes.(RF)
- ☐ ID# - Type in the individual's unique identification number(RF)
- ☐ 2nd ID# - Type in the individual's 2<sup>nd</sup> unique identification number(RF)
- ☐ Type - Pull down and select the characteristic of the individual (RF)
- ☐ Status - Pull down and select the present condition of the individual(RF)
- ☐ Address - Type in the street address of the individual(RF)
- ☐ City/ Region - Part of address(RF)
- ☐ Postal Code - Part of address(RF)
- ☐ Country - Pull down and select the county where the individual resides(RF)
- ☐ Telephone# - Type in the individual's telephone number(RF)
- ☐ Facsimile# - Type in the individual's facsimile number. (This is not a required field.)

### Registry Account Screen

Account#	Type	Status
2	Single	Unrestricted
3	Single	Unrestricted
1	Depository	Unrestricted
*(AutoNumber)		

Buttons: Account Owners, Current Holdings

Scroll to the bottom of the Registry Account List and Maintenance screen. Select pull down options from the Type and Status fields.

- ❑ Type represents the account's characteristics (RF)
- ❑ Status indicates the account's present condition. Required Field (RF)

After the Status and Type fields are completed Click on the Account Auto Number field . The system automatically assigns a new account number to your selections and by Double Clicking on the new account number it advances you to the Registry Account Owner Relationships screen for data input. Users may use the Find method to obtain a blank account# access screen without scrolling.

Registry Account Owner Relationships

Account#: 4 Type: Single Status: Restricted-Collateral

Type/ID# of Owner(s):

Owner Detail:

Type: ☒ Individual ☒ Organization ID#:

Name:

Type: Status:

Address:

Phone:

Fax:

Buttons: New, Delete, Save, Cancel

- ❑ The Registry Account Owner Relationships screen automatically fills in the account number, status and type obtained from the Registry Account List and Maintenance screen.

- ❑ ID# field - Type in a 1 or 2 before the account's ID# to represent either an individual (1) or an organization (2). The account's ID# is the same number as the registrant's ID#. Required Field (RF)
- ❑ Individual or Organization - Click on the desired type of account, this must be consistent with the ID# prefix and the registration(RF)
- ❑ The remaining fields (ID#, Name, Address, Type, Status and Phone#) are automatically filled in by the system with data from the Registration screen linked to the same ID#(RF)

The input screens for the Depository Interface, Remote Registry and Billing Reports are discussed in Chapters 6 & 7 respectively.

Methods for adding, deleting and changing these ISR data fields are detailed below:

**Adding Data**

- ❑ for fill in fields - click the mouse on the field to be accessed. Then type in required data.
- ❑ for fields which have pull down options - click the mouse on the desired option or point, click and pull down the square on the pull down bar(right side) until the correct option is displayed and then point and click to select.
- ❑ for point and click choices - point and click the mouse arrow on the box or circle next to the option to be selected. Your option box or circle should have been highlighted received a mark in it.
- ❑ when data is added to calendar screens - the pull down fields are used to select month and year. The day is accessed by pointing and clicking the mouse arrow on the calendar day box.

**Deleting and Changing Data**

- ❑ for fill in fields - point and click the mouse line behind the data to be deleted then backspace until the data is removed. Re-type any changes.
- ❑ for pull down option fields - pull down another option and the original choice will be deleted and replaced.
- ❑ for point and click choices - point and click the arrow on the marked box or circle and the mark disappears. Follow add instructions for new selection.
- ❑ for calendar screens - follow above pull down and point and click changes.

Some system input fields can be cleared of data and the screen exited by pointing and clicking the mouse arrow on the Cancel button.

## Chapter 5: Registry Functionality

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### Introduction

Now that you are familiar with accessing and moving around in inquiry and data entry screens, the multiple layered system structure and the connectivity of various files which were presented in Chapters 2-4; you are ready to address the typical transactions the ISR system processes discussed in this chapter.

Typical ISR system functions include:

- ☐ Original Issue of Shares
- ☐ Retiring Shares
- ☐ Facilitate Trading Shares
- ☐ Transfers
  - shares to street name
  - shares from street name
  - shares from customer name to another customer name
  - registration name change
- ☐ Inquiry Capability to Support Customers
- ☐ Identify Restricted Securities

Before shares can be traded in the marketplace and the Registry utilized, detailed information about issuers, issues, registrant and the accounts must be entered in ISR's database as discussed in Chapter 4.

Use the following ISR Main Menu icons to enter this information into the database:

- ☐ Issuers
- ☐ Issues
- ☐ Registrants
- ☐ Accounts

Remember that an issuer must be established prior to its respective issue and a registrant should be entered before its account can be created.

### Original Issue of Shares

To initiate an Original Issue of Shares the system screen titles and processing order is as follows:

Issuer Detail → Issue Detail → Registrant Detail → Registry Account Owner Relationship → Registry Transfer Detail (select Original Issue and complete screen)

Issuance detail appears in the Shareholding History and Registry Transfer List inquiry screens for review.

### Retiring Shares

Retiring or de-issuing of shares is the opposite process of issuing shares except the issuer, issue, registrant, and account have already been established. The only screen necessary to be accessed for input is the Registry Transfer Detail screen.

- ❑ Click on Issue Retirement from the transfer selection area and complete the transfer fields.
- ❑ Share retirement detail appears in the Shareholding History and Registry Transfer List inquiry screens.

### Facilitate Trading of Shares

As discussed in previous chapters the Registry system provides re-registration transfers so that traded shares can be de-registered or transferred into street name for settlement purposes. To make shares eligible for settlement the only input screen necessary to be utilized is the Registry Transfer Detail screen.

- ❑ Click on to Street Name from the transfer selection area and complete the transfer fields
- ❑ the FBO DCS A/C# field appears as a required input field in order to credit the Depository account of the selling broker

Street name transfer details appear in the Shareholding History and Registry Transfer List inquiry screens.

For shares that are already in street name no transfer is required to satisfy the trade, so the Depository strictly handles the settlement process.

### **Transfers**

- ❑ shares to street name - follow the same procedures as discussed above in the Facilitate Trading of Shares section.
- ❑ shares from street name - this is not a Registry initiated transfer, instructions are sent from the Depository through the Depository Interface to be matched with an account. The Registry Transfer Detail screen transfer selection field is automatically filled in by the system to indicate how the transfer originated.
- ❑ shares from one customer name to another - if the second customer account has not been established then follow the set up procedures for Registrants ➔ Accounts ➔ Registry Transfer Detail. Once both accounts have been established then access the Registry Transfer Detail screen and select account transfer from the transfer options. Complete all fields. The customer ID#'s for both customers will be reflected in the account name field of this screen..
- ❑ registration name changes - individual or organization name changes are processed in the Registrant Detail screen not the Transfer Detail screen. Access the Registrant Detail screen and Type over the existing customer information. Click on Save when completed.

### **Customer Support - Inquiry Capability**

Customers of the Registry are typically issuers and broker/dealers but in some cases may include members of the Depository and account holders. This means that users of the ISR system must be able to furnish information to any of the above customers who may inquire. Since we have discussed the ISR screens in detail in Chapter 2-4 we will refer you to those chapters for complete discussions of those screen fields. The customer support inquiry screens and their purpose are listed below:

- ❑ Shareholdings by Account - customer owned securities positions
- ❑ Shareholding History - transfers by security in a specific customer's account, number of shares, transfer type, status
- ❑ Shareholder Lists by Issue - customers that own a specific security
- ❑ Remote User Organization Detail - detail on participants that have remote access and their depository account numbers
- ❑ Registry Transfer Detail - detail on Registry transfers
- ❑ Registry Account Owner Relationships - detail on customer accounts



### Identify Restricted Shares

Securities can be restricted in two manners either by the whole issue or by specific shares owned by a customer. Both types and the ways in which they are established and identified are discussed below:

- ❑ Whole Issue Restricted - Creation is accomplished by accessing the input (blank) Issue Detail screen and selecting the restricted option under Status, to view whether an issue is restricted access the inquiry (completed) Issue Detail screen and view Status

Issue Detail	
Trading Symbol:	PIZZA
Issue ID:	1
Issue ISIN:	R0980999
Description:	Timz Pizza -- The Best
Issued by:	13
Total Outstanding:	20,000
Type:	Common Stock
Status:	<div> <div>Restricted</div> <div> Retired Publicly Traded Private Placement </div> </div>
<div> <div>Timz Pizza 13 Calle Vittoria 707-1234</div> </div>	
<div> <div>New</div> <div>Delete</div> <div>Save</div> <div>Cancel</div> </div>	

- ❑ Shares Restricted by Customer - These are shares which are restricted from trading and transfers. A separate account must be established for each customer that owns restricted shares, this is accomplished by selecting the Registry Account List and Maintenance input screen, inputting account information and selecting restricted option in the Status field. An account's status may be viewed in the Registry Account List under the column status.

## Chapter 6: Registry Interfaces

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### Depository Interface

This screen was originally intended for the manual processing of From Street Transfers originating at the Depository and coming to the Registry. That process is fully automated in the current version of the software and this interface is no longer functional.

### Remote Access

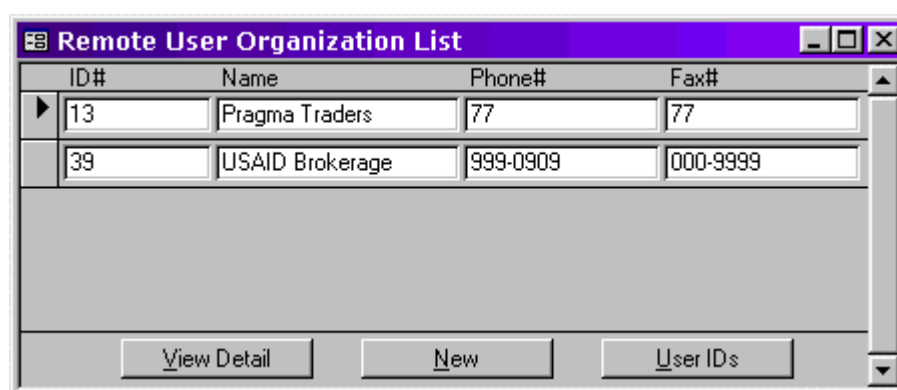
Purpose - The Remote Access provides the Registry user with a list and the details of which organizations (participants) and users (their employees) have the capability to access the Registry from their remote locations.

Access - To access the Remote Access sub menu Click on the Remote Access icon on the Main Menu screen. The Remote Access sub menu( see screen print) presents the user with a choice of selecting either Organizations or User ID's. Click on either button to select.



### Organizations

After clicking on the Organizations button the Remote User Organizations List appears providing the ID number, organization's name and phone number . The user is presented with choices of View Detail, New and User ID's.



View Detail - Either double Click on the desired ID number or Click on the View Detail button to access the Remote User Organization Detail screen.

Fields are updateable and can be Saved from this screen . In an inset box on the screen DCS Acct. @ ISR Org's Acct. @ DCS, fields for the Depository's Account at Registry and the Participant's Account at the Depository are provided. Accounts can be added (Click New button for blank fields and Type), removed permanently (Click Delete button ), save after changing information (Click Save button) and exited (Click Cancel button to return to previous screen).

The Organization detail on the same screen can also be Added, Deleted, Saved and Canceled by the same processes and with the same results as described above.

If the Delete choice is made the user is given a Yes or No option to delete the information on the screen and remove it from the Remote User Organization List.

New - Provides the user with a blank Remote User Organization Detail screen to Type in the ID#, 2<sup>nd</sup> ID#, Organization's Name and Address, Phone# and Fax#.

User ID's - Provides the user with the Remote User ID List ( Log on ID#, Name, Organization and Organization ID#) for inquiry purposes if an ID exists. From this screen users can View Detail, add a New remote user or View an Organization. The details of these choices are discussed below in the User ID section.

If an ID does not exist then a blank Remote User ID Detail screen appears for input.

### User ID's

#### *Remote User ID List*

When the User ID's sub menu is accessed the following screen appears. Options from this screen are as follows:

User Logon ID	User Name	Organization	Org ID#
LarryS	SanBoeuf, Larry	USAID Brokerage	39
Tsmith	Smith, Tim	Pragma Traders	13

View Detail    New    View Organization

**View Detail** -This option opens the following Remote User ID Detail screen which reflects Logon ID (unique individual identifying code), User Name(first and last), Gender, Corporate Title, Telephone # and Fax# see example.

**New**(from the Remote UserID List) - Opens a blank Remote User ID screen and requires that the following fields be completed: Log on ID, User Name (first and last) ,Gender, Corporate Title, Telephone# and Fax#. See example below.

**View Organization** - This option takes the user to the completed Remote User Organization Detail screen. The inquiry and input choices are the same as noted above.

### *Remote User ID Detail*

Logon ID: Tsmith    Organization: Pragma Traders    13  
 User's Name: Smith (Last)    USAID Brokerage    39  
 Mr. Tim (First)  
 Corp Title: President    DCS Acct@ISR / Org's Acct@DCS  
 Telephone# 333-0366    1/2  
 Facsimile# 333-0313

New    Delete    Save    Cancel

- ❑ New provides you with a blank Remote User ID Detail screen for input.(see details below)
- ❑ Delete gives the user the capability to remove inputted data
- ❑ Save allows the user to save any changes to previously entered text
- ❑ Cancel exits from the screen

### *Blank Remote UserID Detail*

Remote User ID Detail							
Logon ID:	<input type="text"/>	Organization:	<table border="1"> <tr> <td>Pragma Traders</td> <td>13</td> </tr> <tr> <td>USAID Brokerage</td> <td>39</td> </tr> </table>	Pragma Traders	13	USAID Brokerage	39
Pragma Traders	13						
USAID Brokerage	39						
User's Name:	<input type="text"/> (Last)						
	<input type="text"/> (First)						
Corp Title:	<input type="text"/>	DCS Acct@ISR / Org's Acct@DCS					
Telephone#	<input type="text"/>	1/3					
Facsimile#	<input type="text"/>						
<input type="button" value="New"/> <input type="button" value="Delete"/>		<input type="button" value="Save"/> <input type="button" value="Cancel"/>					

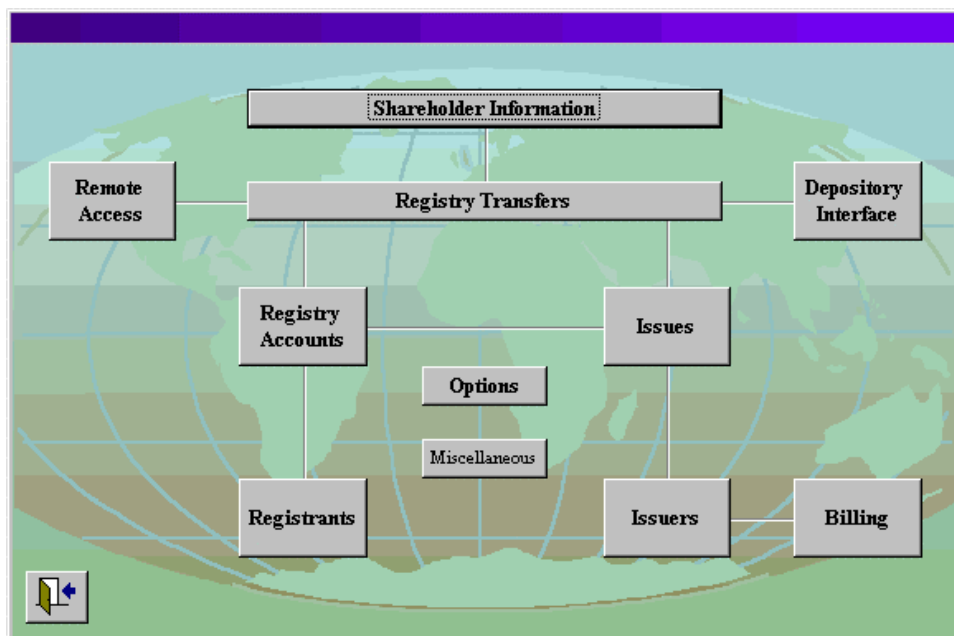
The Remote User ID screen requires that the following fields be completed: Log on ID, User Name (first and last), Gender, Corporate Title, Telephone# and Fax#.

The Organization list box shows all the participants that are Remote members. Select and Click on the desired Organization and its Depository Account Number at Registry and Organization Account Number at the Depository appears in the DCS Acct.@ ISR / Org.'s Acct.@ DCS box below. These account numbers must be Clicked on since this field and the Organization field are mandatory.

## Chapter 7: Registry Reports

### Introduction

Registry reports provide a comprehensive medium for viewing and printing Registry data. Users can choose from among seven report forms depending on their specific needs. All reports include date fields, so that the user may select a report time period. Typically the most common used reports are found in the Shareholder Information screen on the Registry main menu. They are (1) Issuance Shareholder Report, (2) Account Statement Detail/Summary reports, and (3) Account Activities Advice. There are two Billing reports. The Detail Billing Report and Summary Billing Report can be generated from the Billing option on the main menu. The final two reports are for the regulatory agency to monitor transfer activity. They are selected from the Miscellaneous icon on the Main Menu form.



### Issue Shareholder Report

Report Title:	Issue Shareholder Report
Purpose:	This report, produced as of a particular record date, will be used by the issuing corporation to distribute to its shareholders cash dividends and bond interest payments. It will also be employed to provide information for mailing corporate announcements, proxies, and annual reports.
Screen Data Input:	Trading Symbol, As of Date
Date:	Users have the option by producing the report as of a certain date by selecting 'as of record date' on the report menu.
Sort Sequence:	<p>The report consists of two parts; The Cover Page and The Detail Information Report. The Cover Page provides summary details of the Issuer and the Issue.</p> <p>The Detail Information Report is organized by registry account number, and shows the position of the selected Issue in each account.</p>
Frequency:	On request
Total:	The total page sums the Registry Account positions for the selected trading symbol.
To Run:	

1. From Registry main menu select Shareholder Information



2. Click on the Issue Shareholder Report icon. This will access the Shareholder Report Dialog Screen.

Shareholder Report Dialog

Trading Symbol: PIZZA Timz Pizza -- The Best

Issuer: Timz Pizza

as of Record Date: 12-Jun-99

Jun 1999 Jun 1999

Sun	Mon	Tue	Wed	Thu	Fri	Sat
30	31	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	1	2	3
4	5	6	7	8	9	10

Print Preview

Print

Cancel

3. Enter the Trading Symbol of the Issue you want to view
4. Press the TAB key and the Issue and Issuer names will appear
5. Select the 'as of Record Date' field for the date you wish to view by using the calendar control to choose a date.
6. Click on the Print Preview button to preview the report, or
7. Click on the Print button to produce the report, or
8. Click on the Cancel button to cancel the print



**Shareholder Report (Cover)**

Name & Address:	Name and address of the issuing company
Name:	Name of issue
Symbol:	Issue's trading symbol
Issue ID#:	Unique number assigned to the Issue for identification purposes
Issue ISIN:	The international identification assigned to the Issue representing Romania
Type:	Identifies the form the security takes
Status:	Security characteristics
As of Record Date:	The cutoff date through which the report is generated.
Total Shares Authorized:	Total number of shares which may be outstanding for this security
Total Shares Outstanding:	Total number of shares in the marketplace, held by the shareholders.
Prepared By:	Name and address of the registry.
Page:	Page Number and Total Pages
Printed:	Date and time when the report was printed.
Example follows:	

**Shareholder Report (Cover) Sample**

Shareholder list  
for

Dynamic Magnetics  
313 Blenheim Dr.  
San Jose, California  
92222  
U.S.A.

Trading Symbol:	DYMA6
as of:	24-Nov-99
Number Of Shareholders:	4
Total Number Of Shares On The Market:	20,000

Pragma Registry  
29 Wall St.  
Suite 109  
Baltimore, MD  
U.S.A. 21208  
Telephone: (401) 322-6380

Page 1

Printed: 24-Nov-99 10:34

**Shareholder Report (Detail):**

Record Date:	The as of Date selected in the Shareholder Report Dialog Screen
Trading Symbol:	The Symbol of the Issue selected in the Shareholder Report Dialog Screen
Name:	Issue's Name
Registry Account #:	The Registry's unique identifying number assigned for each account that has a position in the selected Issue
Account Position:	The actual number of shares of the Issue held in each account on the selected record date. The figure in parentheses shows the amount of shares held in that account stated as a percentage of total shares outstanding of the Issue.
Name & Address of Sum of Registry Account Position:	Name and Address of the shareholders the account owners:  The aggregate total of all the account positions on the report
Example follows:	

### Shareholder Report (Detail)

Dynamic Magnetics Symbol: DYMAG (Dynamic Magnetics Common Issue 1) as of: 24-Nov-99

Current Number:1	Shares (%)
Account Number:1	1,050 (5.3)
USAID Depo	
22 K Street	
Washington, D.C.	
US 22109	

Current Number:2	Shares (%)
Account Number:2	9,250 (46.3)
Pleiades Pleione	
7 Star Way	
Laguna Beach, California	
US 92651	

Current Number:3	Shares (%)
Account Number:3	4,700 (23.5)
Global Investments	
64 Pelican Shores Lane	
Marblehead, Massachusetts	
US 02118	

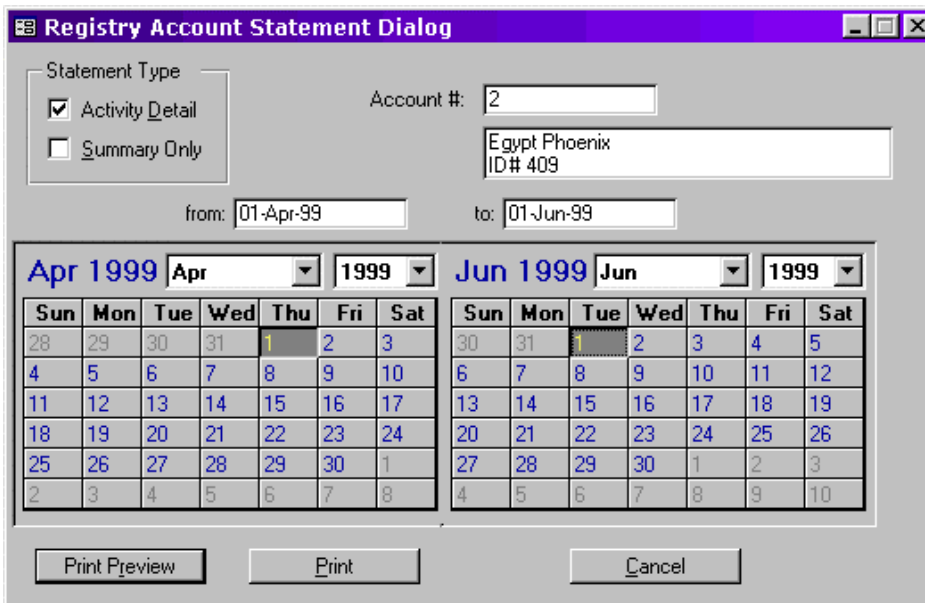
Current Number:4	Shares (%)
Account Number:4	5,000 (25.0)
Global Investments	
64 Pelican Shores Lane	
Marblehead, Massachusetts	
US 02118	
Pleiades Pleione	

Total Number Of Shares On The Market: 20,000

### Account Statement Report (Activity Detail)

- Report Title: Account Statement Report (Activity Detail)
- Purpose: This customer statement report details the trades by security for the period selected and lists the security positions as of the ending date selected.
- Screen Data Input: Statement Type, Account Number, From Date, To Date  
Date: Users have the option of producing the report between any range of past and present dates.
- Sort Sequence: The report consists of two parts; The Summary of Account Positions and The Detail Information Report. The Summary of Account Positions lists the securities held in the account and provides the type, status and quantity of each one.
- The Detail Information Report breaks down the account 's activity by Issue. Under each Issue, The Detail Information Report shows a chronological listing of the type, quantity, and new balance of every transfer involving that Issue in the Account. The last share balance entry for each issue corresponds to the "Shares Owned" field in the preceding Summary table.
- Frequency: On request
- To Run:

1. From Registry main menu select Shareholder Information/Account Statement icon to bring up the following dialog box:



The dialog box is titled "Registry Account Statement Dialog". It contains the following fields and controls:

- Statement Type:** A group box containing two radio buttons: "Activity Detail" (checked) and "Summary Only".
- Account #:** A text box containing the value "2".
- Egypt Phoenix ID# 409:** A text box containing the value "409".
- from:** A date picker showing "01-Apr-99".
- to:** A date picker showing "01-Jun-99".
- Month/Year Selection:** Two sets of dropdown menus for selecting the month and year. The first set is for "Apr 1999" and the second is for "Jun 1999".
- Calendar Grids:** Two calendar grids showing the months of April and June 1999. The first grid shows April 1st to 30th, and the second grid shows June 1st to 30th. The date "1" is highlighted in both grids.
- Buttons:** "Print Preview", "Print", and "Cancel".

2. Select *Activity Detail* in the Report Statement Type Box
3. Enter the Account Number you want to run the report for

4. Press the TAB key and account owner and ID Number will appear
5. Enter the “from date” to choose the starting point of your range
6. Enter the “to date” to choose the ending point of your range.
7. Click on the Print Preview button to preview the report, or
8. Click on the Print button to send the report to the printer, or
9. Click on the Cancel button to cancel the print

Report Sample follows:

### Sample of Account Statement (Activity Detail) Report:

Pragma Registry 29 Wall St. Suite 109 Baltimore, MD 21208 U.S.A. Telephone: (401) 322-6380		<h1>Registry Account Statement</h1> <table border="1"> <tr> <th>Account Number</th> <th>Account Activity</th> </tr> <tr> <td>1</td> <td>from 01-Nov-98 to 24-Nov-99</td> </tr> <tr> <th>Account Type</th> <th>Account Status</th> </tr> <tr> <td>Depository</td> <td>Unrestricted</td> </tr> </table>		Account Number	Account Activity	1	from 01-Nov-98 to 24-Nov-99	Account Type	Account Status	Depository	Unrestricted																											
Account Number	Account Activity																																					
1	from 01-Nov-98 to 24-Nov-99																																					
Account Type	Account Status																																					
Depository	Unrestricted																																					
<b>Account Owner</b> USAID Depo 22 K Street Washington, D.C. 22109 US																																						
<h3>Summary Of The Account Positions</h3> <table border="1"> <thead> <tr> <th>Trading Symbol</th> <th>Issuer Name</th> <th>Security Type</th> <th>Issuance Status</th> <th>Shares Amount</th> </tr> </thead> <tbody> <tr> <td>DYMAG</td> <td>Dynamic Magnetics</td> <td>Common Stock</td> <td>Publicly Traded</td> <td>1,050</td> </tr> </tbody> </table>				Trading Symbol	Issuer Name	Security Type	Issuance Status	Shares Amount	DYMAG	Dynamic Magnetics	Common Stock	Publicly Traded	1,050																									
Trading Symbol	Issuer Name	Security Type	Issuance Status	Shares Amount																																		
DYMAG	Dynamic Magnetics	Common Stock	Publicly Traded	1,050																																		
<h3>Account Activity for Trading Symbol DYMAG'</h3> <table border="1"> <thead> <tr> <th>Date</th> <th>Transfer #</th> <th>Transfer Type</th> <th>Shares Transferred</th> <th>Balance</th> </tr> </thead> <tbody> <tr> <td>01-Nov-98</td> <td colspan="3">Starting balance .....</td> <td>0</td> </tr> <tr> <td>22-Jun-99</td> <td>3</td> <td>To Street</td> <td>500</td> <td>500</td> </tr> <tr> <td>22-Jun-99</td> <td>5</td> <td>To Street</td> <td>400</td> <td>900</td> </tr> <tr> <td>22-Jun-99</td> <td>4</td> <td>To Street</td> <td>400</td> <td>1,300</td> </tr> <tr> <td>22-Jun-99</td> <td>6</td> <td>From Street</td> <td>-150</td> <td>1,150</td> </tr> <tr> <td>22-Jun-99</td> <td>7</td> <td>From Street</td> <td>-100</td> <td>1,050</td> </tr> </tbody> </table>				Date	Transfer #	Transfer Type	Shares Transferred	Balance	01-Nov-98	Starting balance .....			0	22-Jun-99	3	To Street	500	500	22-Jun-99	5	To Street	400	900	22-Jun-99	4	To Street	400	1,300	22-Jun-99	6	From Street	-150	1,150	22-Jun-99	7	From Street	-100	1,050
Date	Transfer #	Transfer Type	Shares Transferred	Balance																																		
01-Nov-98	Starting balance .....			0																																		
22-Jun-99	3	To Street	500	500																																		
22-Jun-99	5	To Street	400	900																																		
22-Jun-99	4	To Street	400	1,300																																		
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22-Jun-99	7	From Street	-100	1,050																																		
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Date	Transfer #	Transfer Type	Shares Transferred	Balance																																		
01-Nov-98	Starting balance .....			0																																		
21-Jun-99	1	Original Issue	10,000	10,000																																		

### Field Descriptions for Account Statement (Detail) Report

Date: Date the transfer was executed

Transfer ID#: Unique identification number the ISR Registry assigns to each transfer

Transfer Type:	Form the transfer takes
Shares Transferred:	Number of shares transferred for each transaction
Share Balance:	Position in account after each transfer was executed
Open Share Balance:	The account's position by issue just prior to the start date of report



**Registry Account Statement (Summary):**

Report Title:	Account Statement Report (Summary Only)
Purpose:	This report will create statements summarizing customer positions for a given account as of a certain date
Screen Data Input:	Statement Type, Account Number, as of Date
Date:	Users have the option of producing the report as of any date.
Sort Sequence:	The Summary of Account Positions lists the Issues held in the account, and provides the type, status, and quantity of each. This is the exact same table as the one included in the Detail Report, but the Summary Only Report omits the detail portion.
Frequency:	On request
To Run:	<ol style="list-style-type: none"><li>1.From Registry main menu select Shareholder Information</li><li>2.Click on the Account Statement Icon.</li><li>3. Select <i>Summary Only</i> in the Report Statement Type Box</li><li>4. Enter the Account Number you want to run the report for</li><li>5. Press the TAB key and account owner and ID Number will appear</li><li>6. Enter the 'as of Date' you wish to view</li><li>7. Click on the Print Preview button to preview the report, or</li><li>8. Click on the Print button to print, or</li><li>9. Click on the Cancel button to prevent the report from printing</li></ol>

Report example follows:

### Sample of Account Statement (Summary) Report

<b>Pragma Registry</b> <b>29 Wall St.</b> <b>Suite 109</b> <b>Baltimore, MD</b> <b>21208</b> <b>U.S.A.</b> <b>Telephone: (401) 322-6380</b>	<h1>Registry Account Statement</h1>																		
<b>Account Owner</b>  Pleiades Pleione 7 Star Way Laguna Beach, California 92651 US	<table border="1"> <tr> <th>Account Number</th> <th>Positions Summary</th> </tr> <tr> <td>2</td> <td>as of 24-Nov-99</td> </tr> <tr> <th>Account Type</th> <th>Account Status</th> </tr> <tr> <td>Single</td> <td>Unrestricted</td> </tr> </table>	Account Number	Positions Summary	2	as of 24-Nov-99	Account Type	Account Status	Single	Unrestricted										
Account Number	Positions Summary																		
2	as of 24-Nov-99																		
Account Type	Account Status																		
Single	Unrestricted																		
<table border="1"> <thead> <tr> <th colspan="5">Summary Of The Account Positions</th></tr> <tr> <th>Trading Symbol</th><th>Issuer Name</th><th>Security Type</th><th>Issuance Status</th><th>Shares Amount</th></tr> </thead> <tbody> <tr> <td>DYMAG</td><td>Dynamic Magnetics</td><td>Common Stock</td><td>Publicly Traded</td><td>9,250</td></tr> </tbody> </table>					Summary Of The Account Positions					Trading Symbol	Issuer Name	Security Type	Issuance Status	Shares Amount	DYMAG	Dynamic Magnetics	Common Stock	Publicly Traded	9,250
Summary Of The Account Positions																			
Trading Symbol	Issuer Name	Security Type	Issuance Status	Shares Amount															
DYMAG	Dynamic Magnetics	Common Stock	Publicly Traded	9,250															

### Field Description for Account Statement (Summary) Report

Registry Name and Address:	Name and address of the Registry
Account Number:	Registry identifying number of the account for which the report is being run
Account Type:	Form that the account takes
Activity Statement:	Time period the statement covers
Account Status:	Characteristic of the account
Account Owner(s):	Name and Address of account owners
Trading Symbol:	The Symbol for each Issue held in the account.
Description:	The name of the Issue corresponding to each Trading Symbol
Type:	Form of the security
Status:	Characteristic of the security

Shares Owned

The ending balance of that Issue in the account for the period selected

Page:

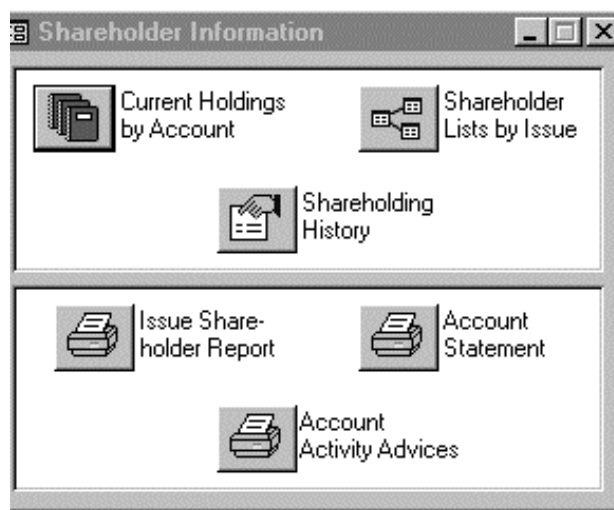
Page Number

Printed:

Date and time the report was printed.

**Account Activity Advice Report**

Report Title:	Account Activity Advice
Purpose:	This report will create statements which detail the trades made in a given account over a specified time interval. It differs from the Registry Account statement report in that it is not broken down by Issue. This report is a organized strictly chronologically.
Screen Data Input:	Account Number, From Date, To Date
Date:	Users have the option by producing the report between any range of dates, past to present.
Sort Sequence:	The report lists the transfers for the selected account in the order they were executed.
Frequency:	On request
To Run:	1. From Registry main menu select Shareholder Information 2. Click on the Account Activity Advices Icon.



3. Enter the Account Number for which you want to run the report
4. Press the TAB key and account owner and ID Number will appear
5. Enter the "from date" to choose the starting point of your range
6. .Enter the "to date" to choose the ending point of your range.
7. Click on the Print Preview button to preview the report, or
- 8 .Click on the Print button to print, or

9. Click on the Cancel button to prevent the report from printing

### Account Activity Advice Report Sample

<b>Pragma Registry</b> <b>29 Wall St.</b> <b>Suite 109</b> <b>Baltimore, MD</b> <b>21208</b> <b>U.S.A.</b> <b>Telephone: (401) 322-6380</b>		<h2>Account Activity</h2> <table border="1"> <tr> <th>Account Number</th> <th>Account Activity</th> </tr> <tr> <td>2</td> <td>from 01-Nov-98 to 23-Nov-99</td> </tr> </table> <table border="1"> <tr> <th>Account Type</th> <th>Account Status</th> </tr> <tr> <td>Single</td> <td>Unrestricted</td> </tr> </table>		Account Number	Account Activity	2	from 01-Nov-98 to 23-Nov-99	Account Type	Account Status	Single	Unrestricted																																										
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Single	Unrestricted																																																				
Pleiades Pleione 7 Star Way Laguna Beach, California 92651 US																																																					
<table border="1"> <thead> <tr> <th colspan="5">Account Activity</th> </tr> <tr> <th>Date</th> <th>Trading Symbol</th> <th>Transfer #</th> <th>Transfer Type</th> <th>Shares Transferred</th> </tr> </thead> <tbody> <tr> <td>21/06/99 8:54:08 PM</td> <td>DYMAG</td> <td>1</td> <td>Original Issue</td> <td>10,000</td> </tr> <tr> <td colspan="5">de cadre: Admin</td> </tr> <tr> <td>22/06/99 3:30:05 AM</td> <td>DYMAG</td> <td>3</td> <td>To Street</td> <td>-500</td> </tr> <tr> <td colspan="5">de cadre: Admin</td> </tr> <tr> <td>22/06/99 8:43:27 PM</td> <td>DYMAG</td> <td>5</td> <td>To Street</td> <td>-400</td> </tr> <tr> <td colspan="5">de cadre: Admin</td> </tr> <tr> <td>22/06/99 9:33:53 PM</td> <td>DYMAG</td> <td>6</td> <td>From Street</td> <td>150</td> </tr> <tr> <td colspan="5">de cadre: Admin</td> </tr> </tbody> </table>				Account Activity					Date	Trading Symbol	Transfer #	Transfer Type	Shares Transferred	21/06/99 8:54:08 PM	DYMAG	1	Original Issue	10,000	de cadre: Admin					22/06/99 3:30:05 AM	DYMAG	3	To Street	-500	de cadre: Admin					22/06/99 8:43:27 PM	DYMAG	5	To Street	-400	de cadre: Admin					22/06/99 9:33:53 PM	DYMAG	6	From Street	150	de cadre: Admin				
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de cadre: Admin																																																					

### Field Descriptions for Account Activity Advice Report:

Registry Name and Address:	Name and address of the Registry
Account Number:	Customer account number the report is being run for
Account Type:	Form the account takes
Activity Statement:	Time period the statement covers
Account Status:	Characteristic of the account
Account Owner(s):	Name and Address of account owner(s)
Date	The date the transfer was executed
Trading Symbol:	The Symbol of the Issue transferred
Transfer ID#:	Unique identification number the ISR system

	assigns to each transfer
Transfer Type:	Form transfer takes
Shares Transferred:	Quantity of shares transferred
Page:	Page Number
Printed:	Date and time the report was printed.

### Billing Detail Report

- Report Title: Billing Detail Report
- Purpose: This report records all transfer activity by Issuer within the Registry system over a specified time period. It will be used primarily by the Registry to bill the Issuers for transfer activities.
- Screen Data Input: Billing Report Type, From Date, To Date
- Date: Users have the option of producing the report between any range of dates, past to present.
- Sort Sequence: The report generates a separate page for each Issuer. Within each Issuer, the transfers are listed chronologically.
- Frequency: On request
- To Run: 1. From Registry main menu select Billing

**Billing Report Request**

Billing Report Type

☒ Detail ☐ Summary

from: 01-Apr-99 to: 13-Jun-99

Apr 1999							Jun 1999						
Sun	Mon	Tue	Wed	Thu	Fri	Sat	Sun	Mon	Tue	Wed	Thu	Fri	Sat
28	29	30	31	1	2	3	30	31	1	2	3	4	5
4	5	6	7	8	9	10	6	7	8	9	10	11	12
11	12	13	14	15	16	17	13	14	15	16	17	18	19
18	19	20	21	22	23	24	20	21	22	23	24	25	26
25	26	27	28	29	30	1	27	28	29	30	1	2	3
2	3	4	5	6	7	8	4	5	6	7	8	9	10

Print Preview Print Cancel

2. In the Billing Report Type Box, Select "Detail"
3. Enter the "from date" to choose the starting point of your range
4. Enter the "to date" to choose the ending point of your range.
5. Click on the Print Preview button to preview the report, or
6. Click on the Print button to print, or
7. Click on the Cancel button to prevent the report from printing.

### Billing Detail Report Sample

<i><b>Billing Detail Report</b></i>		<i>Reporting Period: 01-Apr-99 thru 13-Jun-99</i>		
<i>Issuer</i>	<i>Symbol</i>	<i>Date/Time</i>	<i>Quantity</i>	<i>Description</i>
<i>Time Pizza</i>				
	PIZZA	Time Pizza -- The Best		
		09/06/99 8:40:25 PM	100	Account Transfer
		12/06/99 3:27:32 AM	100	Account Transfer
		12/06/99 3:28:46 AM	100	Account Transfer
		12/06/99 3:55:02 AM	300	Account Transfer
		17/04/99 12:52:47 PM	100	From Street
		17/04/99 1:04:19 PM	100	From Street
		17/04/99 2:17:33 PM	100	From Street
		17/04/99 2:55:39 PM	100	From Street
		04/05/99 11:12:06 AM	500	From Street
		16/04/99 1:18:08 PM	100,000	New Issue
		16/04/99 1:24:55 PM	10,000	Original Issue
		16/04/99 1:35:04 PM	10,000	Original Issue
		10/05/99 6:02:45 PM	1	Shareholder Report
		26/05/99 9:15:33 AM	1	Shareholder Report
		12/06/99 10:16:50 PM	1	Shareholder Report
		12/06/99 10:20:09 PM	1	Shareholder Report
		12/06/99 10:22:31 PM	1	Shareholder Report
		12/06/99 10:26:04 PM	1	Shareholder Report
		12/06/99 10:32:50 PM	1	Shareholder Report
		12/06/99 10:34:04 PM	1	Shareholder Report
		12/06/99 10:35:44 PM	1	Shareholder Report
		12/06/99 10:36:50 PM	1	Shareholder Report
		12/06/99 10:38:49 PM	1	Shareholder Report
		16/04/99 5:21:17 PM	500	To Street

### Field Descriptions for Billing Detail Report:

Registry Name and Address:	Name and address of the Registry
Reporting Period:	Date range included in report
Issuer:	This report will show the transfers for all Issuers who had any transfers during the specified time period
Symbol:	The Symbol of the Issue indicated
Date/Time:	The date and time of the transfer was executed
Quantity:	The number of shares transferred
Description	Transfer type
Page:	Page Number and Total Pages



Printed:

Date and time when the report was printed.

**Billing Summary Report**

Report Title:	Billing Summary Report
Purpose:	This report records all transfer activity within the Registry system over a specified time period. It breaks down the activity by Issuer. It will be used primarily by the Registry to bill the Issuers for transfer activities. It differs from the Billing Detail Report in that it does not show each transfer action. Instead, it displays the aggregate shares transferred for each transfer type for each Issuer.
Screen Data Input:	Billing Report Type, From Date, To Date
Date:	Users have the option by producing the report between any range of dates, past to present.
Sort Sequence:	The report generates a separate page for each Issuer. Within each Issuer the transfers totals are listed by transfer type.
Frequency:	On request
To Run:	<ol style="list-style-type: none"><li>1. From Registry main menu select Billing</li><li>2. In the Billing Report Type Box, Select "Summary"</li><li>3. Enter the "from date" to choose the starting point of your range</li><li>4. Enter the "to date" to choose the ending point of your range.</li><li>5. Click on the Print Preview button to preview the report, or</li><li>6. Click on the Print button to print, or</li><li>7. Click on the Cancel button to prevent the report from printing</li></ol>

### Billing Summary Report Example

Registrul Roman al Actionarilor Calea Calarasi nr. 13-17, bl.104 Bucuresti, Sector 3 Romania Telephone: (401) 322-6380		<b>Billing Summary Report</b> <i>Reporting Period: 01-Apr-99 thru 13-Jun-99</i>		
<i>Issuer</i>	<i>Symbol</i>	<i>Description</i>	<i># of Events</i>	<i>Quantity</i>
<b>Capital Systems</b>				
	CAPSYS	Capital Systems Market Software		
		<i>Total Account Transfer</i>	1	500
		<i>Total From Street</i>	5	439
		<i>Total New Issue</i>	1	100,000
		<i>Total Original Issue</i>	2	20,000
		<i>Total Shareholder Report</i>	3	3
		<i>Total To Street</i>	8	14,100

### Field Descriptions for Billing Summary Report:

Registry Name and Address:	Name and address of the Registry
Reporting Period:	Date range included in report
Issuer:	This report will show trades summary for all Issuers who had any trades during the specified time period
Symbol:	The Trading Symbol of the Issue indicated
Description:	The transfer type
# of Events	The total number of this transfer type executed
Quantity:	The total number of shares transferred during the specified time period for that transfer type
Page:	Page Number
Printed:	Date and time when the report was printed.

## Chapter 8: Error Messages

### ISR System Error Messages

The table below lists a sample of the possible error messages which users may encounter while working in the ISR system. The purpose of these messages are to provide the user with notification that wrong information was entered into the system and to provide them with clues to assist them in resolving the problem. The Error Messages column lists the actual system displayed error messages followed by an Explanation of these messages and the Action to resolve the error. The Screen Title column indicates the screen in which the user may have encountered the error.

If you are still unsure of what action is necessary to correct the problem contact your System Administrator or Systems Manager.

Error Messages	Explanations	Action	Screen Title
This Symbol does not exist.	The issue symbol entered does not exist in the database	Refer to symbol reference and re-enter	Shareholder Report Dialog
This Account does not exist	The customer account number entered does not exist in the database	Refer to customer account number reference and re-enter	Account Activity Advice Dialog
The “from” date cannot be a future date	Reports must have present or past date parameters	Select a prior or present date	Account Activity Advice Dialog
An FBO Clearing Account # is required	User neglected to input a Broker’s Depository account # for a to Street	Type in the Broker Depository account	Registry Transfer Detail
Transfer Amount cannot exceed the amount available	User tried to transfer more shares than the account had available to	Check amount of shares available for transfer and make the transfer for that	Registry Transfer Detail
Null is invalid	First ID# is missing	Input Organization’s primary ID#	Remote User Organization Detail
There is no individual with this ID in the database	Wrong Remote User ID# was entered	Check and input the correct User ID#	Remote User ID Detail
Format of the Type/ID# is:1=Individual owner 2=Organization owner	The Type is missing from the Type/ ID# field	For individual a #1 and organization a #2 must precede the ID#	Registry Account Owner Relationships

ODBC -call failed	The option number entered already exists for that option heading	Assign the option desired a different number	Options
The value entered must be a numeric value between - 2 147 483 647 and	User cannot issue shares with a quantity greater than or less than	Correct the number of shares input	Issuance Detail

## Chapter 9: System Security

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The ISR System is configured with multiple levels of user access security . System security protects against the corruption of data from unintentional accidents, unsophisticated users, individuals that work in non -systems Registry positions and outsiders who may alter data to the detriment of the Registry. The security levels are assigned, by the Systems Administrator, to the users Logon ID which is password protected. As users log on, the system checks to see if the user has inquiry only access, input of information capability, supervisory override capability or system management control. These terms , their capabilities, and the reason for their limiting powers are addressed below.

- Inquiry Only
  - look at information only
  - users cannot input or change information they can only view it
  - this security level limits the number of individuals that can input data to the ones that actually need to, so as to cut down on errors
- Input of Information
  - users add processing records
  - these users can affect the system by adding data but cannot make changes or deletions to existing records
  - this level allows users to process work without the possibility that processed data can be changed
- Supervisory Override
  - users can delete and change some processed data
  - this level allows supervisors of employees ,who input data, to fix any errors that they may make
  - these users cannot effect final processed transaction records and system coded information so as to preserve the integrity of the system
- System Management
  - can make all changes to the system and the data
  - this allows a small core of people the responsibility to modify the system as needs change or to fix major data problems
  - unlimited system powers

## Chapter 10: Glossary

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**Account** - a file that separates one owner's records from another

**Accrued Interest** - Amount of interest earned on a bond since the last regular payment.

**Advice** - a transfer activity report sent to customers.

**AS400** - IBM microcomputer. (Often used as the operations platform for large networks.)

**Baud rate** - the speed at which a modem transmits data.

**Bay Networks 28115** - the Ethernet switch used to connect the local servers and workstations.

**Beneficial owners** - the shareholders who are entitled to all the benefits of ownership although they are not the registered owners on the books of the company.

**Bookkeeping entries** - increases or decreases of account security position records

**Bond** - A debt instrument from a corporation or a government promising to pay a specific amount plus interest on a specified date.

**Broker** - An agent or dealer or professional middleman who buys and sells securities in return for a commission. A broker may be or may represent a member firm of a stock exchange.

**Brokerage Firm** - Any organization serving as a broker or dealer in stock transactions. settling broker, or opposing broker or the contra broker.

**BSE** - Bucharest Stock Exchange.

**byte** - The amount of space required by your computer's hard disk or memory to store a single character.

**CC/D** - Clearing Corporation/Depository

**CheckFree** - The corporation tasked by USAID to develop the RDCS software application.

**Clearance** - The phase where active securities are cleared through a securities exchange house.

**Clearing Corporation** - A central receive and distribution center operated for its members, who are made up of various brokerage firms.

**client/server** - a type of processing where tasks are split between a client computer (PC or workstation) and a larger server computer.

**Compaq DeskPro XI** - a desk top PC which has been specified for users of the Registry/Depository system

**Compaq Proliant** - an enterprise server from Compaq. It is one of two servers used for the RDCS system configuration with: two 100 MHz Pentium™ processors, 20 GB of disk storage, two Ethernet interfaces and a 4 MM DAT tape backup system.

**Cr. Account** - Cr. is an abbreviation for credit . An account that is credited is increased.

**Data base** - an accumulation of information which can be sorted in many ways

**data entry** - the act of inputting information

**data fields** - specific screen locations where specific information should be entered

**Dealer** - A trader who buys and sells for their own account, rather than as an agent for customers. Dealers profit by selling for a higher price than they paid; and may also act as brokers.

**Db. Account** - Db. is an abbreviation for debit. An account that is debited is decreased.

**Delivery** - The transmission of the certificate representing shares bought on a securities exchange.

**Depository** - A storehouse for securities. It maintains the book entry records of its participants. Each day's movements will be two-sided where the total number of shares delivered out of the accounts of participants each day will always equal the total number of shares received into participant accounts. At the close of a trading day the total number of shares in participants accounts will always equal the total amount of shares issued that day.

Also referred to as **DCS** - The Romanian **Depository, Clearing and Settlement** system is an automated database system to reduce the costs of securities services offered to the public by its participants.

**Dividends** - periodic payment of corporate earnings to its shareholders

**FBO DCS A/C #** - abbreviation For the Benefit Of Depository Clearing Settlement Account number - participant's account number at the Depository

**finds** - a system icon which allows the user to type in information in a blank screen and obtain it without scrolling

**Hardware** - computer components that help run the computer system

**icons** - usually squares or circles on a computer screen with letters or symbols inside that represent actions or information which are accessed when clicked upon

**inquiry**- to view information

**interface** - a method of connecting one computer system to another

**IRIS** - Interim Registry System.



**ISIN** - International Securities Identifying Number. Alpha-numeric code where first two characters identify the security's country of origin.

**Independent Share Registry (ISR)** - Independent Share Registries. Shareholders listed in the temporary registry (NAP) will be transferred to ISRs by 1997. See Registry.

**Issue** - A security or obligation in the form of a stock or bond of a company or corporation that is made available to the public; or the means for bringing a security to market. When a corporation "goes public" it sells equity in itself.

**Issue ID** - a unique identification number assigned to each issue

**Issuer** - The corporation that physically transfers the debits and credits of shares on the issues book record and issue a certificate or a notice of the credit or debit to the shareholder(s) involved.

**IMS** - (Tri-Cord's) Intelligent Management System.

**IPO** - Initial Public Offerings.

**ISR** - Independent Share Registries (see Registry).

**keyboard** - a input device which allows users to type in commands to a computer

**LAN** - local area network.

**Legal action notices** - information sent to shareholders regarding an issuing company's activities that is required by law.

**Liability** - Legal responsibility for debt. Bonds are payable long-term liabilities.

**Listed Stock** - Stocks or securities that have been approved and admitted or listed on a stock exchange. It must first comply with the listing policy and standards of the exchange that approved it for trading.

**Logon** - the act of entering a unique user identification code to gain access to a computer system

**Main Menu** -a computer screen which provides the general contents of a system 's software and permits access to system sub files

**Mb** - megabytes.

**MEBO** - Management Employee Buyout.

**MHz** - Megahertz.

**Ministry of Industry** - Romania's service bureau for the NAP to collect the MPP coupon subscription data.

**MODEM** - A contraction of the words modulator and demodulator. It describes a device that enables digital data to be transmitted over analog transmission facilities. Where computerized data is changed to electronic pulses for telephone transmission then re-converted to computer readable data.

**Monitor** - a screen with which to view computer data

**Mouse** - a computer connected hand held point and click device which allows the user to travel in the system.

**MPP** - Romanian Mass Privatization Program.

**Municipal Bond** - Bonds that are obligations of a government (City/state) and are backed by resident tax payers (such as property taxes, or sales taxes) from local revenues.

**Mutual Fund** - Assets, stocks bonds government securities that represent an undivided interest in the assets held by the fund.

**MS-Access for Windows** - Database development software used for RDCS created by Microsoft.

**MS-SQL Server** - The server-based relational database engine used for ISR and DCS (developed by Microsoft).

**NAP** - National Agency for Privatization. Romanian Government Agency responsible for the implementation of the MPP.

**National Securities Commission (CNVM)** - The Romanian Securities Exchange Commission.

**Net Position** - The difference between the open contracts long and open contract short held in any one security by an individual or group.

**Network** - a method of linking a group of PC's together so that they may share information

**Nominee** - A name registered on a certificate which indicates that the registered shareholder (usually a clearing corporation, bank custodian or dealer) is holding securities on behalf of the beneficial owner. The nominee acts as agent for the beneficial owner, who may not be able to maintain an account at a depository or clearing corporation.

**OBDC** - Open Database Connectivity. (ISR/DCS uses the MS-SQL driver for SQL Access CLI for Windows).

**Option** - selection of choices where one must be picked

**Original Issue** - The first time a particular security is offered for purchase in the marketplace

**OTC** - over-the counter.

**Over-the-Counter Market** - Securities not listed or traded on a regular exchange. Comprised of a network of telephone and telecommunication systems over which unlisted securities and other issues trade. It is primarily a dealers' market. (Non-RASDAQ.)

**outstanding** - a term representing shares that are presently owned by shareholders

**Par** - The state of equality or 100-percent premium or discount.

**Par Value** - Refers to the face or nominal value of a share of stock; the value represented; or the principal amount at which a bond will be redeemed at maturity.

**Password** - a unique code self assigned which allows system access

**PC** - personal computer.

**Personal numeric code** - the Romanian personal number (CPN).

**Portfolio** - A total listing of an investment company's holdings of loans and securities.

**Pentium Processor** - the Intel PC-based 166 MHz processor.

**POF** - Private Ownership Funds.

**Pull downs** - a data selection method for the input and inquiry purposes

**RASD** - Romanian Association of Securities Dealers.

**RASDAQ** - Romanian Association of Securities Dealers Automated Quotation Service.

Involves the use of computers in combination with communications facilities in a system designed to meet the stock quotation needs of professional traders in the OTC markets.

(Currently being developed by The Intrados Group).

**RDCS** - acronym for the software applications for the Registry (ISR) and Depository Clearing and Settlement (DCS) database systems.

**Record Date** - The date on which a buyer of a stock must be registered in the company's books in order to receive a declared dividend or voting rights.

**Registration** - the assignment of a security to a specific owner

**registered securities** - Securities whose ownership has been recorded on the Registry.

**Registrar** - An agent appointed to perform the function of authenticating issues of stocks and bonds to prevent over issue.

**Registry** - Securities share transfer agent. The Romanian commercial share registry was formed to take over shareholder ownership records when the NAP completes the coupon subscription process. It is an independent stock company formed by banks and an insurance company. It is regulated by the CNVM

and operates with fee revenues from client companies. It maintains only shareholder records and dematerialized share records for MPPs and others on the OTC market. (

Referred to as: **ISR-Registry Independent Share Registries.**

**Retire** - corporation buys shares from sellers and removes from the marketplace

**SA** - System Administrator

**SCSI** - Small Computer Systems Interface.

**Security** - a financial instrument which represents ownership in or an loan of money to an issuing organization

**Server** - the computer hardware that connects computers together for communication purposes

**Serial Port** - A physical connector on the back of your computer. A cable usually leads from the serial port to your modem.

**Settlement** - The process of exchanging securities for money. Completing a stock transaction by delivering the required stock certificates and/or funds. The process by which purchase and sales of securities among brokers are determined and the balances are paid off at the Stock Exchange Clearing House. . The process requires 3 days (for delivery and payment).

**Shareholder** - an individual or organization with ownership rights to a security.

**SOF** - State Ownership of Funds.

**Software** - coded system commands which allow a computer to perform various functions.

**sorts** - an icon which allows a user to reorganize system presented data

**SQL** - structured query language.

**Street Name** - Refers to securities held in the name of brokers or their nominees instead of in the customer's name.

**stock** -a instrument that represents ownership in a corporation

**stock exchange** - An organized market for the purpose of centralized trading in securities.

**Sub Menu** - a more detailed set of data which is organized under a general heading

**System Administrator** - an individual who is assigned the responsibility of maintaining a computer system and its data.

**TriCord PowerFrame ES8000** - the enterprise server from tradesman Tri-Cord Systems Inc. Europe. It is one of two servers used for the RDCS configuration with: four 133 MHz Pentium processors, 48 GB of disk storage and 256 Mb of RAM, an X.25 interface, multiple Ethernet interfaces, and a DLT tape

backup system. The X.25 interface receives trading data from a remote Stratus-based portal trading system. The four processors run in symmetrical multiprocessing mode.

**trade** - the act of buying or selling a security

**transaction** - the movement of shares from one account to another

**Transfer** - the change of a security's registration on behalf of its owner

**UI** - user interface.

**UPS** - uninterrupted power supply. For the RDCS a 10KVA UPS was installed to support essential components during commercial power failures.

**USAID** - United States Agency for International Development. Founded in 1961 to coordinate economic foreign assistance. (Formerly with the State Department, in 1979 USAID joined the U.S. International Development Cooperation Agency under the US Dept. of Agriculture.

**User** - an individual that has access to and operates the ISR system

**Windows 95 or NT** - Microsoft operating systems. (RDCS uses NT on the network servers because it provides symmetrical processing of up to four processors. RDCS uses 95 on the ten local workstations.)

**X.25** - CCITT recommendation for DCE/DTE interface protocols for public and international networks. Protocols use special characters to mark the start and end of blocks of data. This enables the server to verify that a block of data was received intact. Both the sending and receiving servers must use the same protocol. The RDCS uses a Tri-Cord ES8000 server with an X.25 interface card that receives trading data from a remote Stratus-based portal trading system.

**Yield** - An investment rate of return as applied to bonds bought as investments to be held to maturity; based on 4 variables:

1. Price
2. Interest Rate
3. Interest period
4. Term.

**Editors Note:** No glossary is the exclusive effort of one person or organization. To build a comprehensive text of this type required the tapping of many resources. No references are shown because due to the limitations of the English language some terms used herein are of no private interpretation and may appear to resemble existing or draft definitions found elsewhere, in this case it is imperative to note that the similarities are coincidental, and are thus unavoidable.

